CAT CAIS Industry Member Reporting Scenarios

2/29/2024

Version 2.4

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Executive Summary

This document is a companion document to the [CAT Reporting Customer and Account Technical Specifications for Industry Members-Full CAIS ("Technical Specifications")](#) and is provided to assist Industry Members in implementing the reporting requirements laid out in the Technical Specifications. This document illustrates the specific reporting requirements for customer and account information (as defined in the CAT NMS Plan). The scenarios illustrate the reporting requirements for Phase 2e, the Full Customer and Account Phase. Refer to the LTID Phase [Industry Member Reporting Scenarios Documents](#) for LTID Phase reporting requirements.

The reporting scenarios are presented in a separate document from the Technical Specifications to provide the greatest flexibility in the ability to modify or add scenarios as new questions are presented and data practices evolve. It is expected that changes and additions will be necessary for reporting scenarios with greater frequency than changes to the Technical Specifications that would be required when record format, field value changes, etc., occur. By maintaining a separate reporting scenarios document, reporting scenarios may be clarified or added without the need for a new version of the Technical Specifications.

This document contains interpretive guidance for Industry Members with respect to how the Technical Specifications must be implemented. As such, any changes to this document are subject to the same review and approval process by the Operating Committee, pursuant to the CAT NMS Plan, as the Technical Specifications.

Version	Date	Author	Description
2.0	6/29/2021	Consolidated Audit Trail, LLC	Initial Publication for Full Customer and Account Phase
2.1	9/21/2021	Consolidated Audit Trail, LLC	Addition of scenarios for FDID Record Data Addition of scenarios for FDID Addresses Addition of scenarios for FDID Customer List and Roles Addition of scenarios for transferring and receiving FDIDs Addition of scenario for reporting a Correspondent Firm's FDIDs Addition of scenarios for Large Trader IDs Addition of scenarios for Natural Person Customers, including sole proprietorships Addition of scenarios for Legal Entity Customers, including identifiers Addition of scenarios for Customer Addresses Addition of scenarios for replacing a Customer's Transformed Identifier ("TIDs") Removal of "Trading Desk" reference from Scenario 4.1.1 Removal of 'BROKERAGE' *accountType* from Scenario 4.1.2

Version	Date	Author	Description
			Modifications to Scenario 4.1.3 to add *branchOfficeCRD* and remove the *largeTraderList*
			Modifications to Scenario 4.2.2 to include the Reporter firm as an authorized trader, and noted the employee is dually registered as an RIA
			Modifications to Scenario 4.2.4 to change the authorized trader's role from 'AUTHREP' to 'AUTH3RD'
			Masked *firmDesignatedID* values used in each scenario
			Addition of 'RELATIONSHIP' *accountType* in Relationship ID scenarios
			Addition of 'BROKERAGE' *accountType* for FDIDs held at brokerage firms
			Removal of *customerStartDate*, *customerEndDate*, and *customerEndReason* from scenarios
2.2	1/28/2022	Consolidated Audit Trail, LLC	Addition of Section 5 – Material Inconsistency Reporting Scenarios
			Modifications to Section 1 - Introduction
			Modification to the *accountName* in Scenario 2.1.1.2 - Relationship FDIDs
			Removed *fdidCustomerList* from Scenarios 2.1.2 – Ending an FDID and 2.1.3 – Ending an FDID Erroneously Reported to CAIS
			Update to title and description, and addition of ending submission to Scenario 2.1.5 – Reopening an Erroneously Ended FDID
			Addition of Scenario 2.1.6 – Repairing an FDID Rejection due to Rejected Customer
			Clarifications in descriptions of Scenario 2.4.2 - Receiving Firm Submission, Scenario 3.1.1 - Name and Year of Birth, Section 3.3 - Customer Address, and Section 3.5 - Multiple Versions of a Customer Within a Submission File
			Modification to Customer Record and addition of file-level attributes in Scenario 2.5.2 – Clearing Firm & Introducing Broker Reporting Custodied Account
			Correction to *tidType* value in Scenario 2.6.1 - FDID with one LTID
			Addition of optionality to Scenario 2.6.5 – Ending an LTID Association to an FDID
			Addition of *doingBusinessAs* attribute and update to *customerType* attribute to Scenario 3.1.1 - Name and Year of Birth
			Modifications to description and removal of *branchOfficeCRD* in Scenario 3.1.2 - Sole Proprietorship Using a Social Security Number
			Addition of FDID Records to Scenario 3.4.1 - Change in Customer's Input Identifier - Same TID Type
			Addition of Scenario 3.4.3 – Correcting a Malformed TID Error.
			Update to description in Section 3.5 – Multiple Versions of a Customer
			Updated *customerType* value and added FDID Records in Scenario 3.5.1 – Natural Person Customer

Version	Date	Author	Description
			Addition of Scenario 3.5.3 – Correcting a Customer Record Rejection Due to Another Version of Customer Being Rejected
			Removal of *branchOfficeCRD* attribute from scenarios with firm owned FDIDs
			Update to title and description, and addition of 'ADVISER' *customerType* and removal of Customer Record in Scenario 4.2.2 - Account Holder and Authorized Trader Who is an Employee
			Update to description, and correction to *customerType* and *accountName* values in Scenario 4.2.4 - DVP/RVP Account with a Clearing Number
			Update to description to Scenario 4.2.5 - DVP/RVP Account with Bank Depository ID
			Correction to *fdidEndReason* value and addition of optionality for account structure and age of majority in Scenario 4.2.6 - UGMA/UTMA Custodied Account
			Addition of Scenario 4.2.7 – Adding Holders or Authorized Traders to an FDID
			Addition of Customer Record to Scenarios 5.2 – Resolving an Intra-Firm Material Inconsistency and 5.3 – Resolving an Inter-firm Material Inconsistency
			Corrections to *largeTraderID* values in various scenarios
2.2.1	2/4/2022	Consolidated Audit Trail, LLC	Corrected errors in description and clarified reporting firm in Scenarios 4.2.4 - DVP/RVP Account with a Clearing Number and 4.2.5 - DVP/RVP Account with Bank Depository ID
			Added *clearingBrokerID* attribute to Scenario 4.2.4
2.3	4/22/2022	Consolidated Audit Trail, LLC	Added of Scenario 2.1.7 – Setting an FDID to 'INACTIVE'
			Added of Scenario 2.1.8 – Repairing an FDID Data Type Violation Error
			Added Scenario 3.5.5 - Repairing a Customer Record Rejection Due to the FDID being Rejected
			Added Scenario 4.2.3 – Account with Specifically Designated Industry Member Employee Broker as Authorized Trader (Prior Scenarios 4.2.4 thru 4.2.7 are now 4.2.5 thru 4.2.8)
			Added Section 4.3 – Nullifying FDID and Customer Record Attributes, and added Scenarios 4.3.1 – Nullifying Attributes via Omission and 4.3.2 – Nullifying Attributes Using 'null' Value
			Added Scenario 5.4.1 – Correcting an Erroneous TID Value and retitled Section 5.4
			Added Section 6 Correction List, and addition of Scenario 6.1.1 - Deleting a Malformed FDID Rejection and Scenario 6.1.2 – Correcting a Malformed FDID Rejection. Moved prior Scenario 3.4.3 – Correcting a Malformed TID Error to Scenario 6.1.3, and added additional description language
			Added additional submission options to Age of Majority examples in Scenario 4.2.7 – UGMA/UTMA Custodied Account
			Added *roleEndReason and roleEndDate* to Customer on *fdidRecordID* '1' and additional description regarding ending Customer associations and the replacing FDID in Scenario 2.1.4 – FDID Replaced by Another FDID Within the Same Firm
			Scenario 2.4.2 – Receiving Firm Submission - removed *largeTraderRecordID* '2' from submission

Version	Date	Author	Description
			Changed *accountType* and *customerType* for *customerRecordID* '2', and added language to description regarding dates in Scenario 2.6.3 – FDID with Multiple LTIDs
			Updated description of scenario regarding *roleEndReason* of 'REPLACED' and *roleStartDate* and *roleEndDate*, and updated *roleStartDate* in Updating Resubmission in Scenario 3.4.1 – Change in Customer's Input Identifier – Same TID Type
			Updated description of scenario, changed *roleStartDate on customerRecordID* '2' and removed *foreignTIDCountryCd* from *customerRecordID* '1' in *tidRecordList* in Scenario 3.4.2 – Change in Customer's Input Identifier – Differing TID Types
			Moved prior Scenario 5.4.1 – Reporting Change in EIN to 3.4.3 - Updated title and description of scenario regarding *roleEndReason* of 'REPLACED' and *roleStartDate* and *roleEndDate*, corrected *replacedByTID* value, and included *roleEndDate* and *roleEndReason* for *customerRecordID* '1' of *fdidRecordID* '1' in the Updating Resubmission
			Moved prior Scenario 4.1.2 – Reporting Multiple Firm Owned Accounts to Scenario 3.5.1. Updated title and enhanced description of submission examples (Prior Scenarios 3.5.1, 3.5.2 and 3.5.3 are now 3.5.2 thru 3.5.4; Prior Scenario 4.1.3 is now 4.1.2)
			Updated scenario title and *role* for *customerRecordID* '589', removed *customerRecordID* '415' from *tidRecordList*, added description language to describe submission in Scenario 4.2.2 Account Holder and Industry Member as Authorized Trader
			Updated *role* of *customerRecordID* '1' and clarified perspective of reporting Industry Member in Scenario 4.2.5 - DVP/RVP Account with a Clearing Number
			Corrected *roleStartDate* for *customerRecordID* '1' in Option 2, added language describing the submissions for Scenario 4.2.8 – Adding Holders or Authorized Traders to an Account
			Updated Scenario 5.2 – Resolving an Intra-Firm Material Inconsistency – Added additional language to the description, addition of TID record for Marie Doe in Original Submission
			Updated Scenario 5.3 – Resolving an Inter-Firm Material Inconsistency to include Bob Doe in all submissions and correction of *customerRecordID* in Original Submission
			Updated Scenario 5.5 – Resolving a Customer Record Type Inconsistency - separated the Natural Person and Legal Entity into separate submissions, added *updateNotification* attribute in Updating Submission
			Added additional clarifying language to Section 3.2 – Legal Entity Customer and Section 3.5 - Multiple Versions of a Customer within a Submission File
			Additional clarifications, enhancements and/or updates to the descriptions of the following scenarios:
			• Scenario 2.1.1.1 - Account FDIDs - clarified FDID represents an account
			• Scenario 2.1.1.2 – Relationship FDIDs and Scenario 4.2.4 – Relationship ID Based FDID – clarified *role* of Customer
			• Scenario 2.1.1.3 – Entity ID FDIDs – clarified when *fdidType* of 'ENTITYID' applies and *role* of the Customer

Version	Date	Author	Description
			• Scenario 2.1.2 – Ending an FDID and Scenario 2.6.5 Ending an LTID Association to an FDID – clarified ending Customer and LTID associations when the FDID is ended
			• Scenario 2.1.3 – Ending an FDID Erroneously Reported - Added clarifications regarding ending Customer associations
			• Scenario 2.1.6 – Repairing an FDID rejection due to rejected Customer – added language that resubmission includes all required LTID and Customer associations
			• Scenario 2.6.2 – FDID with one Unidentified Large Trader ID (ULTID) – Clarified ULTID reporting obligations
			• Scenario 2.6.6 – Re-establishing an LTID Association to an FDID – Added language regarding *ItidEffectiveDate* and if multiple LTIDs are associated with the FDID
			• Scenario 3.1.1 – Trust Using a Social Security Number – Updated the title of scenario and clarified example
			• Scenario 2.1.5 – Reopening an Erroneously Ended FDID, Scenario 3.1.2 – Sole Proprietorship Using a Social Security Number, Scenario 3.2.1 – Name and Identifiers, Scenario 3.3.1 Customer with an Address Different from FDID Address, Scenario 3.3.2 – Customer with Multiple Addresses at the Customer Level, Scenario 4.1.2 – Firm Owned Average Price Account Used for Multiple Customer and Scenario 5.1 – Material Update to Previously Submitted Customer Data - Added additional language to the scenarios describing the submissions
			• Scenario 3.5.2 – Multiple Versions of Natural Person Customer with Multiple Customer Records and Scenario 3.5.4 – Repairing a Customer Record Rejection Due to Another Version of Customer Being Rejected – Updated titles and added additional language to the scenarios describing the submissions
			• Scenario 4.2.6 – DVP/RVP Account with Bank Depository ID - clarified perspective of reporting Industry Member
			Added Warning, Inconsistency and Error Codes to descriptions as applicable
			Change "CAT Reporter" and "firm" to "Industry Member" and "should" to "must" in applicable scenarios
			Addition of *clearingBrokerID* attribute where applicable
			Removal of 'BROKERAGE' and 'ADVISED' *accountType* values where applicable
			Replacement of *primeBrokerID* and *bankDepositoryID* with *DVPCustodianID* where applicable
2.4	2/29/2024	Consolidated Audit Trail, LLC	Added Customer-level addresses throughout
			Updated Section 6 – Correction List to conform with the Full CAIS Technical Specifications
			Added new scenarios:
			• 2.1.9 – Reporting of Authorized Trader Names List
			• 2.6.7 – Updating an ULTID with an LTID
			• 3.1.3 – Multiple Trusts and a Natural Person Using the Same Social Security Number
			• 3.1.4 – Multiple Sole Proprietorships and Natural Person Using the Same Social Security Number

Version	Date	Author	Description
			• 3.1.5 – Foreign Trust Using Foreign Input Identifier for Authorized Trader
			• 3.4.4 – Change in Customer's Foreign Input Identifier - Same TID Type
			• 4.2.8 – Updating from Authorized Trader Names List to Complete Customer Record
			• 6.1.4 – Optionally Deleting a Rejection for a Data Validation Error on an FDID Record
			• 6.1.5 – Optionally Deleting a Rejection for a Data Validation Error on a Customer Record
			Deleted Scenario 4.2.4 "Relationship ID Based FDID" since it is not materially different from Scenario 2.1.1.2 "Relationship FDIDs"
			Updated the following scenarios to conform with the Full CAIS Technical Specifications:
			• Scenario 2.1.3 – Ending an FDID Erroneously Reported to CAIS
			• Scenario 2.1.7 – Setting an FDID to 'INACTIVE'
			• Scenario 5.1 – Material Update to Previously Submitted Customer Data
			• Scenario 5.2 – Resolving an Intra-Firm Material Inconsistency
			• Scenario 5.3 – Resolving an Inter-Firm Material Inconsistency
			• Scenario 5.5 – Resolving a Customer Record Type Inconsistency
			Renamed the following scenarios:
			• Scenario 2.4 from "Transferring an FDID Due to a Corporate Event" to "Mass Transfer of FDIDs Across Industry Members"
			• Scenario 2.5.1 from "Clearing Firm Reporting Accounts Custodied for a Correspondent" to "Clearing Firm Reporting Accounts Custodied for Two Correspondents"
			Renamed Section 2.5 from "Reporting Custodied Accounts" to "Clearing Firm Reporting Custodied Accounts"
			Added additional clarifications in the narrative to:
			• Scenario 2.1.4 – FDID Replaced by Another FDID Within the Same Industry Member
			• Scenario 2.4.1 – Transferring Industry Member Submission
			• Scenario 2.4.2 – Receiving Industry Member Submission
			• Scenario 2.5.1 – Clearing Firm Reporting Accounts Custodied for Two Correspondents
			• Scenario 2.6.5 – Ending an LTID Association to an FDID
			• Scenario 3.5.3 – Multiple Versions of Legal Entity Customer with Multiple Customer Records
			• Scenario 3.5.4 – Repairing a Customer Record Rejection Due to Another Version of Customer Being Rejected
			• Scenario 3.5.5 – Repairing a Customer Record Rejection Due to the FDID being Rejected
			• Scenario 5.4.1 – Correcting an Erroneous TID Value
			• Scenario 6.1.1 – Deleting a Malformed FDID Rejection

Version	Date	Author	Description
			• Scenario 6.1.2 – Correcting a Malformed FDID Rejection
			• Scenario 6.1.3 – Correcting a Malformed TID Error
			Added additional field values in the illustrations to:
			Scenario 2.1.5 – Reopening an Erroneously Ended FDID
			Removed erroneous LTID information in the Updating Submission in Scenario 2.1.4
			Added LTID information and changed the Customer information in the Transferring Industry Member Submission in Scenario 2.4.1
			Changed the Customer information in the Receiving Industry Member Submission in Scenario 2.4.2
			Changed the ltidEffectiveDate in Scenario 2.6.6 – Reestablishing an LTID Association to an FDID to conform with the narrative
			Added the missing Customer information to the Updating Submission in Scenario 3.4.1 and Scenario 3.4.3
			Added an Original Submission illustration to Scenario 3.4.2
			Added an additional correction action to Scenario 6.1.1
			Renumbered scenarios, as necessary
			Corrected minor grammatical typos and JSON syntax typos throughout

1. Introduction

This document is organized by reporting scenarios. For each scenario, a description of the scenario is provided and then is followed by specific JSON examples, illustrating the correct values to be populated for each field. All examples are illustrative and do not identify all applicable fields.

Industry Members are not required to change their books and records and/or business processes to conform with the scenarios depicted in the CAT CAIS Industry Member Reporting Scenarios document. In recognition of the variety of account structures, Customer roles and business practices, etc., the CAT CAIS system is flexible and can handle a number of reporting structures and business processes. The CAT CAIS Industry Member Reporting Scenarios document does not depict all possible CAT CAIS reporting scenarios and is not intended to suggest that these are the only ways Industry Members can report to CAT CAIS. It is important to note that Industry Members must adhere to the reporting requirements as set forth in the CAT Reporting Customer and Account Information Technical Specifications for Industry Members-Full CAIS.

All names, addresses, and identifiers data used for examples in the Customer and Account information reports are purely fictional and for illustrative purposes only. Any resemblance to actual persons, organizations, or locations is purely coincidental.

All Transformed Identifiers ("TIDs") included in the examples for Social Security Numbers, Individual Taxpayer Identification Numbers, or Employer Identification Numbers (collectively, SSN/ITIN and EIN), are generated from values that are outside of the acceptable range of assignment by the assigning body, and would fail CAT data validations if actually reported to the Customer & Account Information System ("CAIS").

2. FDID Data Examples

This section illustrates sample scenarios for reporting account data, including required data for associated customers, in the CAIS JSON format. Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the [CAT Reporting Customer and Account Technical Specifications for Industry Members- Full CAIS](#) for additional information.

2.1. FDID Record Data

2.1.1. Reporting of FDID Open Date and FDID Type

2.1.1.1. Account FDIDs

This scenario illustrates the CAT reporting requirements when the FDID represents an account. For FDIDs with an *fdidType* of 'ACCOUNT', the *fdidDate* represents the date on which the account was opened, or the Account Effective Date as defined in Section 1.1 of the CAT NMS Plan. The *accountType* describes the type(s) of account the FDID represents.

In this example, the Industry Member submits an account which was opened on July 1, 2020. The Industry Member also reports one CAT Customer, who is the account holder.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A2042",
"fdidType": "ACCOUNT",
"accountType": ["MARGIN"],
"accountName": "CustAcct1",
"branchOfficeCRD": 99999,
"clearingBrokerID": ["1234"],
"fdidDate": 20200701,
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "10 FIFTH AVE",
"addrLine2": "SUITE 1000",
"city": "BROOKLYN",
"regionCode": "US-NY",
"countryCode": "US",
"postalCode": "11201"
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20200701</pre>

File	Data

	`          }`
	`        ]`
	`      }`
	`    ],`
	`"naturalPersonCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "firstName": "Melanie",`
	`        "lastName": "Smith",`
	`        "yearOfBirth": 1975,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 FIFTH AVE",`
	`            "addrLine2": "SUITE 1000",`
	`            "city": "BROOKLYN",`
	`            "regionCode": "US-NY",`
	`            "countryCode": "US",`
	`            "postalCode": "11201"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"c68a96c6f6f640bb9b51bf406695d5668b1fe675f1c63cdc9d5257fb92e9b509"`
	`      }`
	`    ]`
	`  }`

2.1.1.2. Relationship FDIDs

This scenario illustrates the CAT reporting requirements when the FDID represents a Relationship ID. The *fdidType* must be 'RELATIONSHIP', and the *accountType* array must include 'RELATIONSHIP' (but must also include other applicable values). In addition, since the *fdidType* for the FDID is 'RELATIONSHIP', the *role* of the associated Customer must be 'TRDHOLDER'. The *fdidDate* will be the date on which the relationship was established.

In this example, the Industry Member submits a Relationship ID FDID which was established on August 1, 2020. The Industry Member also reports one CAT Customer, who is the organization with which the relationship was established.

File	Data
| Data | ```json
{
"fdidRecordList": [
    {
        "fdidRecordID": 1,
        "firmDesignatedID": "REL9301",
        "fdidType": "RELATIONSHIP",
        "accountType": ["RELATIONSHIP"],
        "accountName": "REL WITH ABC",
        "branchOfficeCRD": 12345,
        "fdidDate": 20200801,
        "clearingBrokerID": ["1234"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "1 WATERS ST",
            "city": "JERSEY CITY",
            "regionCode": "US-NJ",
            "countryCode": "US",
            "postalCode": "07097"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 1,
            "role": "TRDHOLDER",
            "roleStartDate": 20200801
          }
        ]
    }
],
"legalEntityCustomerList": [
    {
        "customerRecordID": 1,
        "legalName": "ABC Company",
        "ein": "00-2839174",
        "customerType": ["NOTAPPLICABLE"],
        "lei": "H7483KRW1900BCTR7289",
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "1 WATERS ST",
            "city": "JERSEY CITY",
            "regionCode": "US-NJ",
            "countryCode": "US",
            "postalCode": "07097"
          }
        ]
    }
]
}
``` |
| TIDs | ```json
{
"tidRecordList": [
    {
        "customerRecordID": 1,
        "tidType": "EIN",
``` |

File	Data

	`        "tidValue":`
	`"e1109c873ffcc2edd7404819a6b8981638197aef5638c60bd0cfdb66b2585097"`
	`        }`
	`    ]`
	`}`

2.1.1.3. Entity ID FDIDs

This scenario illustrates the CAT reporting requirements when the FDID represents an Entity ID. An *fdidType* of 'ENTITYID' must only be used when an employee of the Industry Member is exercising discretion over multiple client accounts and creates an aggregated order for which a trading account number of the Industry Member is not available at the time of order origination. Refer to FAQ M15 for additional information regarding Entity IDs. The *fdidType* will be 'ENTITYID', and the *accountType* array must include 'ENTITYID' (but may also include other applicable values). In addition, since the *fdidType* for this FDID is 'ENTITYID', the *role* of the associated Customer must be 'TRDHOLDER'.

In this example, the Entity ID was established on September 1, 2012 and this date is used as the *fdidDate*. The Industry Member must also report itself as a Customer associated to the FDID.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "IA0448",`
	`        "fdidType": "ENTITYID",`
	`        "accountType": ["ENTITYID", "FIRM"],`
	`        "accountName": "ENTITY ID IA0448",`
	`        "fdidDate": 20120901,`
	`        "clearingBrokerID": ["1234"],`
	
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "1 WATERS ST",`
	`            "city": "JERSEY CITY",`
	`            "regionCode": "US-NJ",`
	`            "countryCode": "US",`
	`            "postalCode": "07097"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 1,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20200901`
	`          }`
	`        ]`
	`    }`

File	Data

	``
	    ],
	    "legalEntityCustomerList": [
	        {
	            "customerRecordID": 1,
	            "legalName": "CAT Reporter Firm Co.",
	            "ein": "00-7588409",
	            "customerType": ["BD"],
	            "lei": "K117G549PCX9W217RTV4",
	            "addressList": [
	              {
	                 "addrType": "ADDRESS1",
	                 "addrLine1": "1 WATERS ST",
	                 "city": "JERSEY CITY",
	                 "regionCode": "US-NJ",
	                 "countryCode": "US",
	                 "postalCode": "07097"
	              }
	              ]
	        }
	    ]
	    }
	``

TIDs	```
	{
	"tidRecordList": [
	        {
	            "customerRecordID": 1,
	            "tidType": "EIN",
	            "tidValue":
	"b576d37c9667b8de41cb8781051163cacda0a6bdb244612d0a7f0b9cd1c40ea1"
	        }
	    ]
	    }
	``

2.1.2.   Ending an FDID

This scenario illustrates the CAT reporting requirements when an account was previously submitted to, and accepted by, CAT CAIS, but the account was subsequently closed. The Industry Member must submit the FDID Record with an *fdidEndDate* and *fdidEndReason* populated. The Industry Member may explicitly end any LTID or Customer associations by including the *ltidEndDate* and *ltidEndReason* and the *roleEndDate* and *roleEndReason*. Alternatively, the Industry Member may implicitly end any LTID or Customer associations by omitting them from the ending submission. In that scenario, the *fdidEndDate* will be applied as the *roleEndDate* and *ltidEndDate* and the *fdidEndReason* will be applied as the *roleEndReason* and *ltidEndReason*. When ending an FDID Record that was previously accepted with one or more Customers, Industry Members are not required to include the *fdidCustomerList* in the ending submission. In the scenario where the *fdidCustomerList* is omitted from the ending submission, the *fdidEndReason* will be applied as the *roleEndReason*. If the *role* is ended for a reason that differs from the *fdidEndReason*, then the Industry Member must explicitly end the Customer's *role* by including the *fdidCustomerList* and all required attributes of the list.

In this scenario, the Industry Member must populate an *fdidEndReason* of 'ENDED' for the closed account. In addition, the Industry Member implicitly ends all LTID and Customer associations by omitting them from the ending submission. Because there are no customers in the CAIS Data File the *tidRecordList* in the Transformed Identifiers file is empty.

Ending Submission

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA7774",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "CUSTOMER ACCOUNT1",
	      "fdidEndDate": 20220814,
	      "fdidEndReason": "ENDED",
	      "fdidDate": 20080710,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "555 MARKET ST.",
	          "city": "KANSAS CITY",
	          "regionCode": "US-MO",
	          "countryCode": "US",
	          "postalCode": "64030"
	        }
	      ]
	    }
	]
	}</pre>

TIDs	<pre>{
	"tidRecordList": [
	]
	}</pre>

2.1.3. Ending an FDID Erroneously Reported to CAIS

This scenario illustrates the CAT reporting requirements when an account was previously submitted to, and accepted by, CAT CAIS, but the record was not required to be reported to CAIS. For this scenario, the Industry Member must resubmit the FDID Record with an *fdidEndReason* of 'CORRECTION'. In addition, the *fdidEndDate* must be the same as the *fdidDate* to indicate that the FDID Record should never have been submitted to CAIS.

When ending an FDID Record that was previously accepted with one or more Customers, Industry Members are not required to include the *fdidCustomerList* in the correcting submission. In the scenario where the *fdidCustomerList* is omitted from the correcting submission, the *fdidEndReason* will be applied

as the *roleEndReason*. If the *role* is ended for a reason that differs from the *fdidEndReason*, the Industry Member must explicitly end the Customer's *role* by including the *fdidCustomerList* and all required attributes of the list.

In this example, the Industry Member must populate the *fdidEndReason* with 'CORRECTION' to indicate that the FDID Record was not required to be reported to CAIS.

Correcting Submission

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA1957",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "GEORGE SMITH INVESTMENTS",
	      "branchOfficeCRD": 12345,
	      "fdidEndDate": 20090815,
	      "clearingBrokerID": ["1234"],
	      "fdidEndReason": "CORRECTION",
	      "fdidDate": 20090815,
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "555 MARKET ST.",
	          "city": "KANSAS CITY",
	          "regionCode": "US-MO",
	          "countryCode": "US",
	          "postalCode": "64030"
	        }
	      ]
	    }
	]
	}</pre>

TIDs	<pre>{
	"tidRecordList": [
	]
	}</pre>

2.1.4. FDID Replaced by Another FDID Within the Same Industry Member

This scenario illustrates the CAT reporting requirements when an account was previously submitted to, and accepted by, CAT CAIS, and the account remains open at the Industry Member. However, due to one of the limited circumstances outlined in FAQ M16, the Industry Member is required to change the *firmDesignatedID* value representing the account to a different FDID within its system.

In this example, nothing about the account is changing except the FDID value itself – as such, the original *fdidDate* and *roleStartDate* from the replaced FDID must be used.

Original Submission

In the original submission, the Industry Member reports a firm-owned account which was opened on May 29, 2016. The Industry Member reports itself as the CAT Customer associated to the account.

File	Data
| Data | ```json
{
"fdidRecordList": [
    {
        "fdidRecordID": 1,
        "firmDesignatedID": "IA7484",
        "fdidType": "ACCOUNT",
        "accountType": ["FIRM"],
        "accountName": "Firm Acct1",
        "branchOfficeCRD": 12345,
        "fdidDate": 20160529,
        "clearingBrokerID": ["1234"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "1 WATERS ST",
            "city": "JERSEY CITY",
            "regionCode": "US-NJ",
            "countryCode": "US",
            "postalCode": "07097"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 1,
            "role": "TRDHOLDER",
            "roleStartDate": 20160529
          }
        ]
    }
],
"legalEntityCustomerList": [
    {
        "customerRecordID": 1,
        "legalName": "CAT Reporting Firm LLC",
        "ein": "00-7481002",
        "customerType": ["BD"],
        "lei": "9W27C848HVB74QZ104K7",
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "1 WATERS ST",
            "city": "JERSEY CITY",
            "regionCode": "US-NJ",
            "countryCode": "US",
            "postalCode": "07097"
          }
        ]
    }
]
``` |

File	Data
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "tidType": "EIN",`
	`        "tidValue":`
	`"fb14cd74537abf7c12ecb9c8fb73ceca416c6247fa31c6a205f9b5b57c768549"`
	`    }`
	`]`
	`}`

Updating Submission

In order to replace the FDID, the Industry Member must submit the FDID Record with an *fdidEndReason* of 'REPLACED' and include the *replacedByFDID* attribute populated with the replacing FDID value. The *replacedByFDID* value included in a submission file must reference an FDID that is either included in the current submission file or was accepted by CAT CAIS in a prior submission file.

The Industry Member may explicitly end any LTID or Customer associations by including the *ltidEndDate* and *ltidEndReason* and the *roleEndDate* and *roleEndReason*. Alternatively, the Industry Member may implicitly end any LTID or Customer associations by omitting them from the updating submission. In that scenario, the *fdidEndDate* will be applied as the *roleEndDate* and *ltidEndDate* and the *fdidEndReason* will be applied as the *roleEndReason* and *ltidEndReason*. When replacing an FDID, Industry Members are not required to include the *fdidCustomerList*.

The LTID and Customer associations will not be moved to the replacing FDID Record, thus the Industry Member must explicitly establish the LTID-to-FDID and Customer-to-FDID associations to the replacing FDID.

In this example, *firmDesignatedID* 'IA7484' is being replaced with 'IA0005'. The Industry Member explicitly ends the Customer's role on the replaced FDID by including the *roleEndDate* and *roleEndReason* of 'REPLACED'. In addition, the Industry Member includes the replacing FDID Record in the same submission file as the replaced FDID Record. The Industry Member reports a *roleStartDate* of July 10 2021 because that is the date on which the Customer entered into the *role* of 'TRDHOLDER' on the new FDID, 'IA0005'.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "IA7484",`
	`        "fdidType": "ACCOUNT",`
	`        "accountType": ["FIRM"],`

File	Data

	`"accountName": "Firm Acct1",`
	`"branchOfficeCRD": 12345,`
	`"fdidEndDate": 20210710,`
	`"fdidEndReason": "REPLACED",`
	`"replacedByFDID": "IA0005",`
	`"fdidDate": 20160529,`
	`"clearingBrokerID": ["1234"],`
	`"addressList": [`
	`    {`
	`      "addrType": "ADDRESS1",`
	`      "addrLine1": "1 WATERS ST",`
	`      "city": "JERSEY CITY",`
	`      "regionCode": "US-NJ",`
	`      "countryCode": "US",`
	`      "postalCode": "07097"`
	`    }`
	`],`
	`"fdidCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20160529,`
	`      "roleEndDate": 20210710,`
	`      "roleEndReason": "REPLACED"`
	`    }`
	`]`
	`},`
	`{`
	`  "fdidRecordID": 2,`
	`  "firmDesignatedID": "IA0005",`
	`  "fdidType": "ACCOUNT",`
	`  "accountType": ["FIRM"],`
	`  "accountName": "Firm Acct1",`
	`  "branchOfficeCRD": 12345,`
	`  "fdidDate": 20210710,`
	`  "addressList": [`
	`    {`
	`      "addrType": "ADDRESS1",`
	`      "addrLine1": "1 WATERS ST",`
	`      "city": "JERSEY CITY",`
	`      "regionCode": "US-NJ",`
	`      "countryCode": "US",`
	`      "postalCode": "07097"`
	`    }`
	`],`
	
	`"fdidCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20210710`
	`    }`
	`]`
	`}`
	`],`

File	Data

	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "CAT Reporting Firm LLC",`
	`      "ein": "00-7481002",`
	`      "customerType": ["BD"],`
	`      "lei": "9W27C848HVB74QZ104K7",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"fb14cd74537abf7c12ecb9c8fb73ceca416c6247fa31c6a205f9b5b57c768549"`
	`    }`
	`  ]`
	`}`

2.1.5. Reopening an Erroneously Ended FDID

This scenario illustrates the CAT reporting requirements when an FDID Record was previously submitted to, and accepted by, CAT CAIS, and erroneously ended for a reason other than 'REPLACED' in a later submission. Upon discovering that the FDID Record was erroneously ended, the Industry Member must report the FDID's correct status to CAIS. This is accomplished by excluding the *fdidEndDate* and *fdidEndReason* attributes within the correcting submission, which will nullify these fields and reflect the FDID's correct status in CAIS. Also in the correcting submission, the Industry Member must reestablish any necessary LTID-to-FDID and Customer-to-FDID associations.

In this example, the Industry Member erroneously ended an FDID Record in CAIS when the underlying account was never closed. The Industry Member submits the same FDID Record that was previously submitted, but this time omits the *fdidEndDate* and *fdidEndReason* attributes.

Ending Submission with Erroneous FDID End Reason and FDID Date

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A3019",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["INSTITUTION","FIRM"],`
	`      "accountName": "TRDNG ACCT IA3019",`
	`      "branchOfficeCRD": 12345,`
	`      "fdidDate": 20210706,`
	`      "clearingBrokerID": ["1234"],`
	`      "fdidEndDate": 20220815,`
	`      "fdidEndReason": "ENDED",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ],`
	`      "largeTraderList": [`
	`        {`
	`          "largeTraderRecordID": 1,`
	`          "largeTraderID": "88888888-9999",`
	`          "ltidEffectiveDate": 20210706`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20210706`
	`        }`
	`      ]`
	`    }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "Brokerage Firm LLC",`
	`      "ein": "00-9102664",`
	`      "customerType": ["BD"],`
	`      "lei": "0R940KDF28W1Q774X9W",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`

File	Data
	<pre>] }] }</pre>

TIDs	<pre>{
	"tidRecordList": [
	      {
	         "customerRecordID": 1,
	         "tidType": "EIN",
	         "tidValue":
	"12450da283530a402df4e624992ca69f3f9d3921660256d17388f23e18a7cc0f"
	      }
	  ]
	}</pre>

Correcting Submission with Omitted FDID End Reason and FDID Date

File	Data

Data	<pre>{
	"fdidRecordList": [
	      {
	         "fdidRecordID": 1,
	         "firmDesignatedID": "1A3019",
	         "fdidType": ACCOUNT,
	         "accountType": ["INSTITUTION"],
	         "accountName": "TRDNG ACCT IA3019",
	         "branchOfficeCRD": 12345,
	         "fdidDate": 20210706,
	         "clearingBrokerID": ["1234"],
	         "addressList": [
	           {
	             "addrType": "ADDRESS1",
	             "addrLine1": "1 WATERS ST",
	             "city": "JERSEY CITY",
	             "regionCode": "US-NJ",
	             "countryCode": "US",
	             "postalCode": "07097"
	           }
	         ],
	         "largeTraderList": [
	           {
	             "largeTraderRecordID": 1,
	             "largeTraderID": "88888888-9999",
	             "ltidEffectiveDate": 20210706
	           }
	         ],
	         "fdidCustomerList": [
	           {
	             "customerRecordID": 1,
	             "role": "TRDHOLDER",
	             "roleStartDate": 20210706
	           }
	         ]</pre>

File	Data

	`        }`
	`    ],`
	`    "legalEntityCustomerList": [`
	`        {`
	`            "customerRecordID": 1,`
	`            "legalName": "Brokerage Firm LLC",`
	`            "ein": "00-9102664",`
	`            "customerType": ["BD"],`
	`            "lei": "0R940KDF28W1Q774X9W",`
	`            "addressList": [`
	`              {`
	`                "addrType": "ADDRESS1",`
	`                "addrLine1": "1 WATERS ST",`
	`                "city": "JERSEY CITY",`
	`                "regionCode": "US-NJ",`
	`                "countryCode": "US",`
	`                "postalCode": "07097"`
	`              }`
	`              ]`
	`        }`
	`    ]`
	`    }`

TIDs	`{`
	`"tidRecordList": [`
	`        {`
	`            "customerRecordID": 1,`
	`            "tidType": "EIN",`
	`            "tidValue":`
	`"12450da283530a402df4e624992ca69f3f9d3921660256d17388f23e18a7cc0f"`
	`        }`
	`    ]`
	`}`

2.1.6. Repairing an FDID rejection due to rejected Customer

This scenario illustrates the CAT reporting requirements when an FDID has been rejected due to one or more of its associated Customer Records being rejected. If any associated Customer Records have an error, CAIS cannot accept any FDIDs associated to the Customer because associated Customer data has not been accepted into CAIS.

Original Submission with Error

The Customer Record associated to the FDID is rejected due to a missing *legalName* (Error Code 22530), as the *legalName* attribute is required for Legal Entity CAT Customer Records. Since one of its associated Customer Records was rejected, the FDID is rejected as well (Error Code 22048). Both errors are resolved by correcting the *legalName* and resubmitting the entire FDID Record in its current state with all required LTID and Customer associations.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A4029",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "TRDNG ACCT123",`
	`      "fdidDate": 20060519,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20060519`
	`        }`
	`      ]`
	`    }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "ein": "00-2677812",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"        }`
	`      ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"2500fd15875fd8988cf9e1ef4b9e23a83ee157357274d633dfad5b3dad4ca48e"`
	`    }`
	`]`

File	Data
	`}`

Repairing Submission

In this submission, the firm repairs the Customer Record rejection by adding a valid *legalName* to the record. This also results in resolution of the FDID rejection because all its Customers are accepted into CAIS. The Industry Member is not required to provide the *rejectionID* or a *correctionList* since resubmission of the record with valid data will resolve the rejection.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A4029",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "TRDNG ACCT123",`
	`      "fdidDate": 20060519,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20060519`
	`        }`
	`      ]`
	`    }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "Client Firm Inc.",`
	`      "ein": "00-2677812",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`

File	Data

	`        "countryCode": "US",`
	`        "postalCode": "07097"`
	`            }`
	`            ]`
	`        }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "tidType": "EIN",`
	`        "tidValue":`
	`"2500fd15875fd8988cf9e1ef4b9e23a83ee157357274d633dfad5b3dad4ca48e"`
	`    }`
	`]`
	`}`

2.1.7.   Setting an FDID to 'INACTIVE'

This scenario illustrates the CAT reporting requirements when an Industry Member optionally designates an FDID as 'INACTIVE' in CAIS. If an FDID remains open but has had no CAT-reportable activity within the prior six-month period, the Industry Member has the option, but is not obligated to, inactivate it in CAIS by reporting an *fdidEndReason* of 'INACTIVE'. An *fdidEndReason* of 'INACTIVE' indicates the FDID is not in scope for Periodic Customer & Account Information Refresh requirements, and FDIDs marked as 'INACTIVE' are not required to be updated in CAIS. However, if the inactivated FDID subsequently has any CAT-reportable events reported to the Transaction database, the Industry Member must reactivate the FDID in CAIS by the CAIS reporting deadline. This is accomplished by resubmitting the entire FDID Record in its current state (with all required LTID and Customer associations) with null values for the *fdidEndDate* and *fdidEndReason* attributes.

In this Scenario, FDID 1A7289 was previously submitted to, and accepted by, CAIS. Since the FDID remains open but has had no CAT-reportable activity within the prior six-month period, the Industry Member optionally inactivates it in CAIS by reporting an *fdidEndReason* of 'INACTIVE' and populates an *fdidEndDate*.

Inactivating Submission

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "1A7289",`
	`        "fdidType": "ACCOUNT",`
	`        "accountType": ["OTHER"],`

File	Data

	`        "accountName": "IA7289 ACCT",`
	`        "fdidDate": 20190516,`
	`        "clearingBrokerID": ["1234"],`
	`        "fdidEndDate": 20241101,`
	`        "fdidEndReason": "INACTIVE",`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 ELM STREET",`
	`            "addrLine2": "BUILDING 5",`
	`            "addrLine3": "STE 10",`
	`            "city": "RICHMOND",`
	`            "regionCode": "US-NC",`
	`            "countryCode": "US",`
	`            "postalCode": "28379"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 1,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20190516`
	`          }`
	`        ]`
	`      }`
	`    ],`
	`    "naturalPersonCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "firstName": "Haley",`
	`        "lastName": "Smith",`
	`        "yearOfBirth": 1989,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 ELM STREET",`
	`            "addrLine2": "BUILDING 5",`
	`            "addrLine3": "STE 10",`
	`            "city": "RICHMOND",`
	`            "regionCode": "US-NC",`
	`            "countryCode": "US",`
	`            "postalCode": "28379"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"d1a3d2b7a1b3df5800da00a66ba005f60370321da09f21ce723723526ce9e8c8"`

File	Data
| | ```
        }
    ]
}
``` |

Reactivating Submission

Once FDID 1A7289 has CAT-reportable events reported to the Transaction database, the Industry Member must reactivate the FDID in CAIS. This is accomplished by resubmitting the entire FDID Record in its current state (with all required LTID and Customer associations) with null values for the *fdidEndDate* and *fdidEndReason* attributes or by omitting the *fdidEndDate* and *fdidEndReason* attributes from the reactivating submission.

In this example, the Industry Member has opted to reactive the FDID by omitting the *fdidEndDate* and *fdidEndReason* attributes from the reactivating submission.

File	Data
| Data | ```
{
"fdidRecordList": [
    {
        "fdidRecordID": 1,
        "firmDesignatedID": "1A7289",
        "fdidType": "ACCOUNT",
        "accountType": ["OTHER"],
        "accountName": "IA7289 ACCT",
        "fdidDate": 20190516,
        "clearingBrokerID": ["1234"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "10 ELM STREET",
            "addrLine2": "BUILDING 5",
            "addrLine3": "STE 10",
            "city": "RICHMOND",
            "regionCode": "US-NC",
            "countryCode": "US",
            "postalCode": "28379"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 1,
            "role": "TRDHOLDER",
            "roleStartDate": 20190516
          }
        ]
    }
],
"naturalPersonCustomerList": [
``` |

File	Data

	`{`
	  `"customerRecordID": 1,`
	  `"firstName": "Haley",`
	  `"lastName": "Smith",`
	  `"yearOfBirth": 1989,`
	  `"customerType": ["NOTAPPLICABLE"],`
	  `"addressList": [`
	    `{`
	     `"addrType": "ADDRESS1",`
	     `"addrLine1": "10 ELM STREET",`
	     `"addrLine2": "BUILDING 5",`
	     `"addrLine3": "STE 10",`
	     `"city": "RICHMOND",`
	     `"regionCode": "US-NC",`
	     `"countryCode": "US",`
	     `"postalCode": "28379"`
	    `}`
	    `]`
	  `}`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	    `{`
	     `"customerRecordID": 1,`
	     `"tidType": "SSN/ITIN",`
	     `"tidValue":`
	`"d1a3d2b7a1b3df5800da00a66ba005f60370321da09f21ce723723526ce9e8c8"`
	    `}`
	`]`
	`}`

2.1.8. Repairing an FDID Data Type Violation Error

This scenario illustrates the CAT Reporting requirements when an attribute of a submitted FDID violates the prescribed data type for the attribute. The error can be repaired by resubmitting the FDID Record with the correct data type for the attribute which encountered the error.

Submission with Error

In this submission, the *fdidDate* attribute is in a Text format with double quotes instead of the prescribed Data format for the Date data type attribute. This causes the FDID Record to be rejected due to a data type violation (Error Code 22034) and an invalid *fdidDate* (Error Code 22007). The Customer Record is also rejected because the FDID was rejected (Error Code 22523).

File	Data

Data	`{`
	`"fdidRecordList": [`
	    `{`
	     `"fdidRecordID": 1,`

File	Data
| | ```
        "firmDesignatedID": "1A3633",
        "fdidType": "ACCOUNT",
        "accountType": ["OTHER"],
        "accountName": "IA3633 ACCT",
        "fdidDate": "20020319",
        "clearingBrokerID": ["1234"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "10 ELM STREET",
            "addrLine2": "BUILDING 5",
            "addrLine3": "STE 10",
            "city": "RICHMOND",
            "regionCode": "US-NC",
            "countryCode": "US",
            "postalCode": "28379"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 1,
            "role": "TRDHOLDER",
            "roleStartDate": 20020319
          }
        ]
      }
    ],
    "naturalPersonCustomerList": [
        {
        "customerRecordID": 1,
        "firstName": "Adam",
        "lastName": "Smith",
        "yearOfBirth": 1979,
        "customerType": ["NOTAPPLICABLE"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "10 ELM STREET",
            "addrLine2": "BUILDING 5",
            "addrLine3": "STE 10",
            "city": "RICHMOND",
            "regionCode": "US-NC",
            "countryCode": "US",
            "postalCode": "28379"
          }
          ]
      }
    ]
    }
``` |
| TIDs | ```
{
"tidRecordList": [
    {
        "customerRecordID": 1,
        "tidType": "SSN/ITIN",
        "tidValue":
``` |

File	Data

	`"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"`
	`        }`
	`    ]`
	`}`

Repairing Submission

In the resubmission, the user removes the double quotes from the *fdidDate* value and resubmits the FDID Record with the required Customer association. This resolves all three rejections associated to the record.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`       "fdidRecordID": 1,`
	`       "firmDesignatedID": "1A3633",`
	`       "fdidType": "ACCOUNT",`
	`       "accountType": ["OTHER"],`
	`       "accountName": "IA3633 ACCT",`
	`       "fdidDate": 20020319,`
	`       "clearingBrokerID": ["1234"],`
	`       "addressList": [`
	`         {`
	`           "addrType": "ADDRESS1",`
	`           "addrLine1": "10 ELM STREET",`
	`           "addrLine2": "BUILDING 5",`
	`           "addrLine3": "STE 10",`
	`           "city": "RICHMOND",`
	`           "regionCode": "US-NC",`
	`           "countryCode": "US",`
	`           "postalCode": "28379"`
	`         }`
	`       ],`
	`       "fdidCustomerList": [`
	`         {`
	`           "customerRecordID": 1,`
	`           "role": "TRDHOLDER",`
	`           "roleStartDate": 20020319`
	`         }`
	`       ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`       "customerRecordID": 1,`
	`       "firstName": "Adam",`
	`       "lastName": "Smith",`
	`       "yearOfBirth": 1979,`
	`       "customerType": ["NOTAPPLICABLE"],`
	`       "addressList": [`
	`         {`

File	Data

	`                "addrType": "ADDRESS1",`
	`                "addrLine1": "10 ELM STREET",`
	`                "addrLine2": "BUILDING 5",`
	`                "addrLine3": "STE 10",`
	`                "city": "RICHMOND",`
	`                "regionCode": "US-NC",`
	`                "countryCode": "US",`
	`                "postalCode": "28379"`
	`            }`
	`            ]`
	`        }`
	`    ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"`
	`    }`
	`]`
	`}`

2.1.9.   Reporting of Authorized Trader Names List

This scenario illustrates the CAT reporting requirements when an Industry Member has not historically collected and systematized all data required to report a Natural Person Authorized Trader. The Plan Participants have temporarily made available an Authorized Trader Names List on the FDID Record. The Authorized Trader Names List enables the Industry Member to report only the name(s) of the Natural Person Authorized Trader(s) having authority to trade on the Account, where they do not have all data required to report the Authorized Trader(s) as a Natural Person CAT Customer(s). Please see FAQ Q65 for more information.

In this example, there are three such Natural Person Authorized Traders associated with the FDID. The Industry Member must populate all three Natural Person Authorized Traders within the *authTraderNamesList*, which is a Data Type of Multi-Dimensional Array.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "1A0094",`
	`        "fdidType": "ACCOUNT",`
	`        "accountType": ["OTHER"],`
	`        "accountName": "IA0094 ACCT",`
	`        "fdidDate": 20100917,`

File	Data

	`        "clearingBrokerID": ["1234"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 ELM STREET",`
	`            "city": "RICHMOND",`
	`            "regionCode": "US-NC",`
	`            "countryCode": "US",`
	`            "postalCode": "28379"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 1,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20100917`
	`          }`
	`        ],`
	`        "authTraderNamesList": [`
	`          {`
	`            "authTraderNameID": 1,`
	`            "authTraderName": "DANIEL NGUYEN"`
	`          },`
	`          {`
	`            "authTraderNameID": 2,`
	`            "authTraderName": "REYNA CHAVEZ"`
	`          },`
	`          {`
	`            "authTraderNameID": 3,`
	`            "authTraderName": "KABIITE KYOMUHANGI"`
	`          }`
	`        ]`
	`      }`
	`    ],`
	`    "legalEntityCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "legalName": "XYZ Investors Club",`
	`        "ein": "00-9948371",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 ELM STREET",`
	`            "city": "RICHMOND",`
	`            "regionCode": "US-NC",`
	`            "countryCode": "US",`
	`            "postalCode": "28379"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`}`

TIDs	`{` `"tidRecordList": [`

File	Data

	{
	    "customerRecordID": 1,
	    "tidType": "EIN",
	    "tidValue":
	"ac822c60e44cdefd0387a29fc76a1c7cefa61840245d38bd9fe5feb770f1ea46"
	    }
	]
	}

2.2. FDID Address

This section illustrates the CAT reporting requirements for addresses associated to accounts. Each FDID submission must contain at least one mailing address for the FDID, and may contain up to four total address records. If a previously stored address record is excluded in a subsequent submission of the FDID, the address record that is not received is stored as a historical address of the FDID.

2.2.1. FDID with a Single Address

This scenario illustrates the CAT reporting requirements when a single address is associated to an account. The mailing address must be included in the FDID *addressList* with an *addrType* of 'ADDRESS1', as noted in FAQ Q44.

In this example, the Industry Member submits an account address with three address lines. The Industry Member also reports one CAT Customer, who is the account holder.

File	Data

Data	{
	"fdidRecordList": [
	    {
	        "fdidRecordID": 1,
	        "firmDesignatedID": "1A2115",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "IA2115 ACCT",
	        "branchOfficeCRD": 99999,
	        "fdidDate": 20070512,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "10 ELM STREET",
	            "addrLine2": "BUILDING 5",
	            "addrLine3": "STE 10",
	            "city": "RICHMOND",
	            "regionCode": "US-NC",
	            "countryCode": "US",
	            "postalCode": "28379"
	          }
	        ],

File	Data

	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 1,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20070512`
	`          }`
	`        ]`
	`      }`
	`    ],`
	`    "naturalPersonCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "firstName": "William",`
	`        "lastName": "Jones",`
	`        "yearOfBirth": 1962,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 ELM STREET",`
	`            "addrLine2": "BUILDING 5",`
	`            "addrLine3": "STE 10",`
	`            "city": "RICHMOND",`
	`            "regionCode": "US-NC",`
	`            "countryCode": "US",`
	`            "postalCode": "28379"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"bf9cdf3fca1091bd7f916a8c84d2e765e0a57912c2e71672f98411c5bbf89e20"`
	`    }`
	`]`
	`}`

2.2.2. FDID with Multiple Addresses

This scenario illustrates the CAT reporting requirements when there are multiple addresses associated to an account. Up to four addresses may be included in the FDID *addressList*, each with a differing *addrType*. The mailing address must be included in the FDID *addressList* with an *addrType* of 'ADDRESS1', as noted in FAQ Q44. When multiple address records are included, they must use the *addrType* values corresponding to the counts of address records – for example, if two addresses are included, they must be 'ADDRESS1' and 'ADDRESS2'.

In this example, the Industry Member submits an account with three associated address records.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A0492",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "IA0492 ACCT",`
	`      "branchOfficeCRD": 99999,`
	`      "fdidDate": 20070512,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 ELM STREET",`
	`          "addrLine2": "BUILDING 5",`
	`          "addrLine3": "STE 10",`
	`          "city": "RICHMOND",`
	`          "regionCode": "US-NC",`
	`          "countryCode": "US",`
	`          "postalCode": "28379"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS2",`
	`          "addrLine1": "5 SOUTH 15TH ST.",`
	`          "city": "RICHMOND",`
	`          "regionCode": "US-NC",`
	`          "countryCode": "US",`
	`          "postalCode": "28378"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS3",`
	`          "addrLine1": "25 GARDEN WAY",`
	`          "city": "SACRAMENTO",`
	`          "regionCode": "US-CA",`
	`          "countryCode": "US",`
	`          "postalCode": "94203"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20070512`
	`        }`
	`      ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "Mary",`
	`      "lastName": "Williams",`

File	Data

	`    "yearOfBirth": 1998,`
	`    "customerType": ["NOTAPPLICABLE"]`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "10 ELM STREET",`
	`        "addrLine2": "BUILDING 5",`
	`        "addrLine3": "STE 10",`
	`        "city": "RICHMOND",`
	`        "regionCode": "US-NC",`
	`        "countryCode": "US",`
	`        "postalCode": "28379"`
	`      },`
	`      {`
	`        "addrType": "ADDRESS2",`
	`        "addrLine1": "5 SOUTH 15TH ST.",`
	`        "city": "RICHMOND",`
	`        "regionCode": "US-NC",`
	`        "countryCode": "US",`
	`        "postalCode": "28378"`
	`      },`
	`      {`
	`        "addrType": "ADDRESS3",`
	`        "addrLine1": "25 GARDEN WAY",`
	`        "city": "SACRAMENTO",`
	`        "regionCode": "US-CA",`
	`        "countryCode": "US",`
	`        "postalCode": "94203"          }`
	`    ]`
	`  }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"735d981a98d179188535e0d6cc859d948efbf01bf7eca0f652768d809bb37360"`
	`    }`
	`]`
	`}`

2.3. FDID Customer List and Roles

This section illustrates the CAT reporting requirements for FDID Customer Records within the *fdidCustomerList*. For each FDID, the *fdidCustomerList* object is used to describe the type of association that exists between the FDID and its Customer(s).

2.3.1. FDID with a Single CAT Customer

This scenario illustrates the CAT reporting requirements for an account associated to one CAT Customer, who is the account holder.

In this example, the Industry Member submits an FDID with one account holder who has authorization to trade on the account.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A2449",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "Jason's Account",
	      "branchOfficeCRD": 99999,
	      "fdidDate": 20190812,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "10 ELM STREET",
	          "addrLine2": "BUILDING 5",
	          "addrLine3": "STE 10",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",
	          "countryCode": "US",
	          "postalCode": "28379"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20190812
	        }
	      ]
	    }
	  ],
	  "naturalPersonCustomerList": [
	    {
	      "customerRecordID": 1,
	      "firstName": "Jason",
	      "lastName": "Myers",
	      "yearOfBirth": 1990,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "10 ELM STREET",
	          "addrLine2": "BUILDING 5",
	          "addrLine3": "STE 10",
	          "city": "RICHMOND",</pre>

File	Data
	<pre> "regionCode": "US-NC", "countryCode": "US", "postalCode": "28379" }] }] }</pre>

TIDs	<pre>{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"a783be7f766ff571c7a2181d86ff949054b92a6ca0d7b9b4b8c43226f4beb368"
	    }
	  ]
	}</pre>

2.3.2. FDID with Multiple CAT Customers

This scenario illustrates CAT reporting requirements for an account associated to multiple CAT Customers who are holders of the account.

In this example, the Industry Member submits an FDID with one account holder who has trading authorization, and another holder who does not have trading authorization.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A3106",
	      "fdidType": "ACCOUNT",
	      "accountType": ["UGMA/UTMA"],
	      "accountName": "Bernard's UGMA Account",
	      "branchOfficeCRD": 99999,
	      "fdidDate": 20151101,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "555 PALM PLACE",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",
	          "countryCode": "US",
	          "postalCode": "28379"
	        }
	      ],
	      "fdidCustomerList": [
	        {</pre>

File	Data

	``json
	        "customerRecordID": 1,
	        "role": "TRDHOLDER",
	        "roleStartDate": 20151101
	      },
	      {
	        "customerRecordID": 2,
	        "role": "NTHOLDER",
	        "roleStartDate": 20151101
	      }
	    ]
	  }
	],
	"naturalPersonCustomerList": [
	    {
	      "customerRecordID": 1,
	      "firstName": "Bernard",
	      "lastName": "James",
	      "yearOfBirth": 1960,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "555 PALM PLACE",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",
	          "countryCode": "US",
	          "postalCode": "28379" }
	      ]
	    },
	    {
	      "customerRecordID": 2,
	      "firstName": "Bernard",
	      "lastName": "James",
	      "nameSuffix": "JUNIOR",
	      "yearOfBirth": 2000,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "555 PALM PLACE",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",
	          "countryCode": "US",
	          "postalCode": "28379"
	        }
	        ]
	    }
	]
	}
	``

TIDs	```json
	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	``

File	Data
| | ```
"4932e10355dea95f31fbd77989b09aa641c49d3df28e7074ae5335e94f61d43f"
    },
    {
      "customerRecordID": 2,
      "tidType": "SSN/ITIN",
      "tidValue":
"7db347e0258d221252ca1f9e5e5913865f2c14f47b15ddefd0870edab89937e7"
    }
  ]
}
``` |

2.4. Mass Transfer of FDIDs Across Industry Members

This section illustrates the CAT reporting requirements in the instance of account transfers from one Industry Member to another, resulting from corporate events such as mergers, acquisitions, or divestitures. In a Mass Transfer scenario, the transferring firm must report the ending of the accounts to be transferred, while the receiving firm must report the Industry Member CRD of the transferring firm and the FDID by which the account was known at the transferring firm. Refer to FAQ Q72 for additional information.

2.4.1. Transferring Industry Member Submission

This scenario illustrates the CAT reporting requirements for the transferring Industry Member when it was acquired by another Industry Member. In order to enact transfers of accounts, the transferring Industry Member must end the FDID by setting the *fdidEndReason* as 'TRANSFER'. The *fdidEndDate* represents the date on which the transfer occurred. Unless specified otherwise, any LTID and Customer associations to the FDID will be ended with the *fdidEndDate* as the *ltidEndDate* and *roleEndDate* respectively, and the *fdidEndReason* as *ltidEndReason* and *roleEndReason*.

In this example, the transferring Industry Member submits three accounts with *fdidEndDates* and *fdidEndReasons* of 'TRANSFER'. Any Active Accounts must also be reported to CAIS by the Industry Member to whom the accounts are being transferred, as represented in Reporting Scenario 2.4.2: Receiving Industry Member Submission. Refer to FAQ Q72 for additional information.

File	Data
| Data | ```
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "TransferredAcct1",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "Transferred FDID No. 1",
      "fdidEndDate": 20210718,
      "fdidEndReason": "TRANSFER",
``` |

File	Data
	``
	"fdidDate": 20110220,
	"clearingBrokerID": ["1234"],
	"addressList": [
	{
	"addrType": "ADDRESS1",
	"addrLine1": "50 N MAPLE",
	"city": "KANSAS CITY",
	"regionCode": "US-MO",
	"countryCode": "US",
	"postalCode": "64031"
	}
	],
	"largeTraderList": [
	{
	"largeTraderRecordID": 1,
	"largeTraderID": "77777777-7777",
	"ltidEffectiveDate": 20210718
	}
	],
	"fdidCustomerList": [
	{
	"customerRecordID": 1,
	"role": "TRDHOLDER",
	"roleStartDate": 20110220
	}
	]
	},
	{
	"fdidRecordID": 2,
	"firmDesignatedID": "TransferredAcct2",
	"fdidType": "ACCOUNT",
	"accountType": ["OTHER"],
	"accountName": "Transferred FDID No. 2",
	"fdidEndDate": 20210718,
	"fdidEndReason": "TRANSFER",
	"fdidDate": 20040728,
	"clearingBrokerID": ["1234"],
	"addressList": [
	{
	"addrType": "ADDRESS1",
	"addrLine1": "123 GROVE STREET",
	"city": "DES MOINES",
	"regionCode": "US-IA",
	"countryCode": "US",
	"postalCode": "50301"
	}
	],
	"fdidCustomerList": [
	{
	"customerRecordID": 2,
	"role": "TRDHOLDER",
	"roleStartDate": 20040728
	}
	]
	},
	``

File	Data
| | ```json
{
    "fdidRecordID": 3,
    "firmDesignatedID": "TransferredAcct3",
    "fdidType": "ACCOUNT",
    "accountType": ["OTHER"],
    "accountName": "Transferred Acct No. 3",
    "fdidEndDate": 20210718,
    "fdidEndReason": "TRANSFER",
    "fdidDate": 19990823,
    "clearingBrokerID": ["1234"],
    "addressList": [
      {
        "addrType": "ADDRESS1",
        "addrLine1": "10 WILLIAMS ST.",
        "city": "AMES",
        "regionCode": "US-IA",
        "countryCode": "US",
        "postalCode": "50014"
      }
    ],
    "fdidCustomerList": [
      {
        "customerRecordID": 3,
        "role": "TRDHOLDER",
        "roleStartDate": 19990823
      }
    ]
  }
],
"naturalPersonCustomerList": [
    {
      "customerRecordID": 1,
      "firstName": "MARLENE",
      "lastName": "JAMES",
      "yearOfBirth": 1978,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "50 N MAPLE",
          "city": "KANSAS CITY",
          "regionCode": "US-MO",
          "countryCode": "US",
          "postalCode": "64031"          }
      ]
    }
],
"legalEntityCustomerList": [
    {
      "customerRecordID": 2,
      "legalName": "Corporate Management Company",
      "ein": "00-9381116",
      "customerType": ["NOTAPPLICABLE"],
      "lei": "L1W70VQDTR52K7361HM2",
      "addressList": [
``` |

File	Data

	`                {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "123 GROVE STREET",`
	`                    "city": "DES MOINES",`
	`                    "regionCode": "US-IA",`
	`                    "countryCode": "US",`
	`                    "postalCode": "50301"          }`
	`              ]`
	`          },`
	`          {`
	`            "customerRecordID": 3,`
	`            "legalName": " Universal Firm LLC",`
	`            "ein": "00-1744025",`
	`            "customerType": ["NOTAPPLICABLE"],`
	`            "addressList": [`
	`                {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "10 WILLIAMS ST.",`
	`                    "city": "AMES",`
	`                    "regionCode": "US-IA",`
	`                    "countryCode": "US",`
	`                    "postalCode": "50014"`
	`                }`
	`              ]`
	`          }`
	`        ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "tidType": "SSN/ITIN",`
	`          "tidValue":`
	`"22ed0a9add2445b711c6a4d1c2fd1962d4c3ec9a77e9473b7789e2c5394cecac"`
	`        },`
	`        {`
	`          "customerRecordID": 2,`
	`          "tidType": "EIN",`
	`          "tidValue":`
	`"fcf73b27ad39f7f4c443819ed240a921905baba8c0b7880244d287a832d9db5b"`
	`        },`
	`        {`
	`          "customerRecordID": 3,`
	`          "tidType": "EIN",`
	`          "tidValue":`
	`"ffa8a6ca8d04188ae7c0368cc52b908a2e12b1c95d5708b3699c6a83b7e24011"`
	`        }`
	`    ]`
	`}`

2.4.2.   Receiving Industry Member Submission

This scenario illustrates the CAT reporting requirements for the receiving Industry Member when it has
acquired another Industry Member. The receiving Industry Member must submit all Active Accounts that it

acquired with full data, including reestablishing applicable LTID and Customer associations. The receiving Industry Member must report in its submission file the *firmDesignatedID* it has assigned to the Account, the CRD of the transferring Industry Member as the *priorCATReporterCRD* value, and must also provide the FDID value assigned to the acquired Account by the transferring Industry Member as the *priorCATReporterFDID*. Both the *priorCATReporterCRD* and *priorCATReporterFDID* attributes must be included in all subsequent submissions of the FDID Record, unless the FDIDs are later replaced.

In this example, the Industry Member submits three accounts it received from the Transferring Industry Member in Reporting Scenario 2.4.1: Transferring Industry Member Submission. Refer to FAQ Q72 for additional information.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "ReceivedAcct1",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "Received FDID No. 1",
"fdidDate": 20210718,
"clearingBrokerID": ["1234"],
"priorCATReporterCRD": 5555,
"priorCATReporterFDID": "TransferredAcct1",
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "50 N MAPLE",
"city": "KANSAS CITY",
"regionCode": "US-MO",
"countryCode": "US",
"postalCode": "64031"
}
],
"largeTraderList": [
{
"largeTraderRecordID": 1,
"largeTraderID": "77777777-7777",
"ltidEffectiveDate": 20210718
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20210718
}
]
},
{
"fdidRecordID": 2,
"firmDesignatedID": "ReceivedAcct2",</pre>

File	Data

	`"fdidType": "ACCOUNT",`
	`"accountType": ["OTHER"],`
	`"accountName": "Received FDID No. 2",`
	`"clearingBrokerID": ["1234"],`
	`"priorCATReporterCRD": 5555,`
	`"priorCATReporterFDID": "TransferredAcct2",`
	`"fdidDate": 20210718,`
	`"addressList": [`
	`  {`
	`    "addrType": "ADDRESS1",`
	`    "addrLine1": "123 GROVE STREET",`
	`    "city": "DES MOINES",`
	`    "regionCode": "US-IA",`
	`    "countryCode": "US",`
	`    "postalCode": "50301"`
	`  }`
	`],`
	`"fdidCustomerList": [`
	`  {`
	`    "customerRecordID": 2,`
	`    "role": "TRDHOLDER",`
	`    "roleStartDate": 20210718`
	`  }`
	`]`
	`},`
	`{`
	`  "fdidRecordID": 3,`
	`  "firmDesignatedID": "ReceivedAcct3",`
	`  "fdidType": "ACCOUNT",`
	`  "accountType": ["OTHER"],`
	`  "accountName": "Received Acct No. 3",`
	`  "priorCATReporterCRD": 5555,`
	`  "priorCATReporterFDID": "TransferredAcct3",`
	`  "fdidDate": 20210718,`
	`  "clearingBrokerID": ["1234"],`
	`  "addressList": [`
	`    {`
	`      "addrType": "ADDRESS1",`
	`      "addrLine1": "10 WILLIAMS ST.",`
	`      "city": "AMES",`
	`      "regionCode": "US-IA",`
	`      "countryCode": "US",`
	`      "postalCode": "50014"`
	`    }`
	`  ],`
	`  "fdidCustomerList": [`
	`    {`
	`      "customerRecordID": 3,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20210718`
	`    }`
	`  ]`
	`}`
	`],`
	`"naturalPersonCustomerList": [`

File	Data

	`{`
	`    "customerRecordID": 1,`
	`    "firstName": "MARLENE",`
	`    "lastName": "JAMES",`
	`    "yearOfBirth": 1978,`
	`    "customerType": ["NOTAPPLICABLE"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "50 N MAPLE",`
	`        "city": "KANSAS CITY",`
	`        "regionCode": "US-MO",`
	`        "countryCode": "US",`
	`        "postalCode": "64031"        }`
	`    ]`
	`  }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 2,`
	`      "legalName": " Corporate Management Company",`
	`      "ein": "00-9381116",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "lei": "103XWD77KJ3PV15CF39PR",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "123 GROVE STREET",`
	`          "city": "DES MOINES",`
	`          "regionCode": "US-IA",`
	`          "countryCode": "US",`
	`          "postalCode": "50301"        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 3,`
	`      "legalName": "Universal Firm LLC",`
	`      "ein": "00-1744025",`
	`      "customerType": ["NOTAPPLICABLE", "ACCREDITED"],`
	`      "lei": "950HRV3XZ99WJR1064P5",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 WILLIAMS ST.",`
	`          "city": "AMES",`
	`          "regionCode": "US-IA",`
	`          "countryCode": "US",`
	`          "postalCode": "50014"        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`

File	Data

	`    "customerRecordID": 1,`
	`    "tidType": "SSN/ITIN",`
	`    "tidValue":`
	`"22ed0a9add2445b711c6a4d1c2fd1962d4c3ec9a77e9473b7789e2c5394cecac"`
	`    },`
	`    {`
	`    "customerRecordID": 2,`
	`    "tidType": "EIN",`
	`    "tidValue":`
	`"fcf73b27ad39f7f4c443819ed240a921905baba8c0b7880244d287a832d9db5b"`
	`    },`
	`    {`
	`    "customerRecordID": 3,`
	`    "tidType": "EIN",`
	`    "tidValue":`
	`"ffa8a6ca8d04188ae7c0368cc52b908a2e12b1c95d5708b3699c6a83b7e24011"`
	`    }`
	`]`
	`}`

2.5. Clearing Firm Reporting Custodied Accounts

2.5.1. Clearing Firm Reporting Accounts Custodied for Two Correspondents

This scenario illustrates a clearing firm's CAT reporting requirements for accounts it custodies for two different correspondents. The clearing firm must populate the *correspondentCRD* attribute with the CRD number of the correspondent firm. The *correspondentCRD* attribute is at the main level within the JSON structure of the CAIS Data File, and as such will apply to all records within the file. The *correspondentCRD* attribute must not be included in the Transformed Identifiers File. If the clearing firm custodies accounts for multiple correspondent firms, accounts for each individual correspondent must be grouped into a separate file.

The *correspondentCRD* field is only populated by clearing firms with introducing brokers or correspondents and only when reporting Accounts to CAIS that are custodied for their introducing brokers/correspondents, including DVP/RVP accounts. Accounts of a clearing firm that are not correspondent accounts should not have the *correspondentCRD* attribute populated.

Clearing firms and introducing brokers/correspondents have their own separate and distinct CAIS reporting obligation. For examples of correspondent submissions, refer to <u>Scenario 2.5.2: Clearing Firm & Introducing Broker Reporting Custodied Account</u>. In this example, the clearing firm submits two accounts – one custodied for a correspondent firm with a CRD of '1111', and one custodied for a different correspondent firm with a CRD of '9999'- in two separate submissions with the header of each submission file containing the CRD number of the respective correspondent. The clearing firm also reports one account holder for each account.

Clearing Firm's Submission for Account it Custodies for Correspondent 1111

File	Data

Data	`{`
	`    "version": "2.0.0",`
	`    "catReporterCRD": 123456,`
	`    "catSubmitterID": 123456,`
	`    "correspondentCRD": 1111,`
	`    "fdidRecordCount": 1,`
	`    "naturalPersonCustomerRecordCount": 0,`
	`    "legalEntityCustomerRecordCount": 1,`
	`    "fdidRecordList": [`
	`      {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A0012",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "CustAcct1",`
	`      "fdidDate": 20200701,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 FIFTH AVE",`
	`          "addrLine2": "SUITE 1000",`
	`          "city": "BROOKLYN",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "11201"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20200701`
	`        }`
	`      ]`
	`    }`
	`  ],`
	`  "legalEntityCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "legalName": "Broker Dealer LP",`
	`        "ein": "00-6318395",`
	`        "customerType": ["BD"],`
	`            "lei": "3182VF640PQQVC538TRM",`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 FIFTH AVE",`
	`            "addrLine2": "SUITE 1000",`
	`            "city": "BROOKLYN",`
	`            "regionCode": "US-NY",`
	`            "countryCode": "US",`
	`            "postalCode": "11201"   }`

File	Data

	``
	            ]
	        }
	    ]
	} ```

TIDs	```
	{
	"tidRecordList": [
	        {
	          "customerRecordID": 1,
	          "tidType": "EIN",
	          "tidValue":
	"803207d07b157664fbeab894cf97b4b55d2d1d80d04c927a6e5a85699f288f3e"
	        }
	    ]
	} ```

Clearing Firm's Submission for Account it Custodies for Correspondent 9999

File	Data

Data	```
	{
	    "version": "2.0.0",
	    "catReporterCRD": 123456,
	    "catSubmitterID": 123456,
	    "correspondentCRD": 9999,
	    "fdidRecordCount": 1,
	    "naturalPersonCustomerRecordCount": 0,
	    "legalEntityCustomerRecordCount": 1,
	    "fdidRecordList": [
	      {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA0013",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "CustAcct2",
	      "fdidDate": 20190821,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MARKET PL",
	          "city": "DOVER",
	          "regionCode": "US-DE",
	          "countryCode": "US",
	          "postalCode": "19901"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20190821
	        }
	      ]
	      } ```

File	Data
| | ```
],
"legalEntityCustomerList": [
    {
        "customerRecordID": 1,
        "legalName": "Introducing Broker Inc.",
        "ein": "00-1827314",
        "customerType": ["BD"],
        "lei": "W84CXZ63130LBPW783",
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "5 MARKET PL",
            "city": "DOVER",
            "regionCode": "US-DE",
            "countryCode": "US",
            "postalCode": "19901"  }
        ]
    }
]
}
``` |
| TIDs | ```
{
"tidRecordList": [
    {
        "customerRecordID": 1,
        "tidType": "EIN",
        "tidValue":
"79f5bbfd2722ee984f4e57555cae03545deaf207c7acab6933001662f01ea0dc"
    }
]
}
``` |

2.5.2. Clearing Firm & Introducing Broker Reporting Custodied Account

Clearing firms and introducing brokers have their own separate and distinct CAIS reporting obligations. This scenario illustrates the CAT reporting requirements when an account is in the custody of a clearing firm ("Clearing Firm") but originates orders through an introducing broker ("Introducing Broker").

In this example, each Industry Member reports the account with the FDID assigned by its respective firm. The Clearing Firm reports the Introducing Broker's CRD in the *correspondentCRD* field, and reports the Introducing Broker's Customer as the associated CAT Customer. The Introducing Broker does not provide a *correspondentCRD*, and reports one CAT Customer associated to the FDID.

Clearing Firm Submission

File	Data
| Data | ```
{
    "version": "2.0.0",
    "catReporterCRD": 123456,
    "catSubmitterID": 123456,
``` |

File	Data

	`          "correspondentCRD": 55555,`
	`          "fdidRecordCount": 1,`
	`          "naturalPersonCustomerRecordCount": 0,`
	`          "legalEntityCustomerRecordCount": 1,`
	`          "fdidRecordList": [`
	`            {`
	`            "fdidRecordID": 1,`
	`            "firmDesignatedID": "1A6650",`
	`            "fdidType": "ACCOUNT",`
	`            "accountType": ["OTHER"],`
	`            "accountName": "CustodiedAcct1",`
	`            "fdidDate": 20130428,`
	`            "clearingBrokerID": ["1234"],`
	`            "addressList": [`
	`              {`
	`                "addrType": "ADDRESS1",`
	`                "addrLine1": "50 NORTH 100TH PLACE",`
	`                "city": "SACRAMENTO",`
	`                "regionCode": "US-CA",`
	`                "countryCode": "US",`
	`                "postalCode": "94204"`
	`              }`
	`            ],`
	`            "fdidCustomerList": [`
	`              {`
	`                "customerRecordID": 1,`
	`                "role": "TRDHOLDER",`
	`                "roleStartDate": 20130428`
	`              }`
	`            ]`
	`          }`
	`        ],`
	`        "legalEntityCustomerList": [`
	`            {`
	`                "customerRecordID": 1,`
	`                "legalName": "Originating Customer Inc.",`
	`                "ein": "00-3838211",`
	`                "customerType": ["NOTAPPLICABLE"],`
	`                "addressList": [`
	`                  {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "50 NORTH 100TH PLACE",`
	`                    "city": "SACRAMENTO",`
	`                    "regionCode": "US-CA",`
	`                    "countryCode": "US",`
	`                    "postalCode": "94204"  }`
	`                ]`
	`            }`
	`        ]`
	`        }`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "tidType": "EIN",`

File	Data
	<pre> "tidValue": "7b1599709a6bb3cce97df911d58abf8303aca660e309dc12639c15921ab0e6dd" }] }</pre>

Introducing Broker Submission

File	Data

Data	<pre>{
	    "version": "2.0.0",
	    "catReporterCRD": 55555,
	    "catSubmitterID": 55555,
	    "fdidRecordCount": 1,
	    "naturalPersonCustomerRecordCount": 0,
	    "legalEntityCustomerRecordCount": 1,
	    "fdidRecordList": [
	      {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "ACCT734923",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "CustomerAccount123",
	      "fdidDate": 20130915,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "50 NORTH 100TH PLACE",
	          "city": "SACRAMENTO",
	          "regionCode": "US-CA",
	          "countryCode": "US",
	          "postalCode": "94204"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	        "customerRecordID": 1,
	        "role": "TRDHOLDER",
	        "roleStartDate": 20130915
	        }
	      ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 1,
	      "legalName": "Originating Customer Inc.",
	      "ein": "00-3838211",
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",</pre>

File	Data

	`"addrLine1": "50 NORTH 100TH PLACE",`
	`"city": "SACRAMENTO",`
	`"regionCode": "US-CA",`
	`"countryCode": "US",`
	`"postalCode": "94204"  }`
	`            ]`
	`        }`
	`    ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`       "customerRecordID": 1,`
	`       "tidType": "EIN",`
	`       "tidValue":`
	`"7b1599709a6bb3cce97df911d58abf8303aca660e309dc12639c15921ab0e6dd"`
	`    }`
	`]`
	`}`

2.6. Large Trader IDs (LTID)

2.6.1. FDID with one LTID

This scenario illustrates the CAT reporting requirements when an account is identified as being associated to a Large Trader. The Industry Member is required to report the account to CAT CAIS, as well as the associated LTID and Customer data. The Industry Member also reports one CAT Customer, who is the account holder.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`       "fdidRecordID": 1,`
	`       "firmDesignatedID": "1A8573",`
	`       "fdidType": "ACCOUNT",`
	`       "accountType": ["OTHER"],`
	`       "accountName": "LargeTradingAccount",`
	`       "branchOfficeCRD": 12345,`
	`       "fdidDate": 20110928,`
	`       "clearingBrokerID": ["1234"],`
	`       "addressList": [`
	`         {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "5 TENTH AVE",`
	`            "city": "DALLAS",`
	`            "regionCode": "US-TX",`
	`            "countryCode": "US",`
	`            "postalCode": "28379"`
	`         }`
	`       ],`
	`       "largeTraderList": [`
	`         {`

File	Data

	`        "largeTraderRecordID": 1,`
	`        "largeTraderID": "55555555-5555",`
	`        "ltidEffectiveDate": 20110928`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20110928`
	`      }`
	`    ]`
	`  }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "LARGE TRADING FIRM INC.",`
	`      "ein": "00-2387493",`
	`      "customerType": ["ACCREDITED"],`
	`      "lei": "09G6RW788BH5XPLR2188",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "5 TENTH AVE",`
	`          "city": "DALLAS",`
	`          "regionCode": "US-TX",`
	`          "countryCode": "US",`
	`          "postalCode": "28379"`
	`        }`
	`        ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"fa42acd55af5624cfb2a3d8041a2064bf19158e67fc2dac4ee763605614e9809"`
	`    }`
	`]`
	`}`

2.6.2.   FDID with one Unidentified Large Trader ID (ULTID)

This scenario illustrates the CAT reporting requirements when there is an Unidentified Large Trader associated to the FDID. Any CAT Reporter that is a clearing firm or self-clearing firm with an obligation to assign an ULTID under the large trader rule is required to report any assigned ULTIDs associated to their

FDIDs as part of their Customer and Account reporting. The ULTID must be reported in the proper format in the *largeTraderList*.

File	Data
| Data | ```json
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "1A1948",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER","FIRM"],
      "accountName": "ULTAcct1",
      "branchOfficeCRD": 12345,
      "fdidDate": 20151021,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "10 N MAPLE",
          "city": "NEW YORK",
          "regionCode": "US-NY",
          "countryCode": "US",
          "postalCode": "10011"
        }
      ],
      "largeTraderList": [
        {
          "largeTraderRecordID": 1,
          "largeTraderID": "ULT55555-0000",
          "ltidEffectiveDate": 20151021
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 1,
          "role": "TRDHOLDER",
          "roleStartDate": 20151021
        }
      ]
    }
],
"legalEntityCustomerList": [
    {
      "customerRecordID": 1,
      "legalName": "ABC SECURITIES MANAGEMENT CO LLC",
      "ein": "00-2387493",
      "customerType": ["BD"],
      "lei": "09G6RW788BH5XPLR2188",
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "10 N MAPLE",
          "city": "NEW YORK",
          "regionCode": "US-NY",
          "countryCode": "US",
``` |

File	Data
| | ```
              "postalCode": "10011"
            }
          ]
        }
      ]
    }
``` |
| TIDs | ```
{
"tidRecordList": [
    {
      "customerRecordID": 1,
      "tidType": "EIN",
      "tidValue":
"10985f81879893df579b89bbcb8b6caa86977a33283cf7c48214d14349350e16"
    }
  ]
}
``` |

2.6.3. FDID with Multiple LTIDs

This scenario illustrates the CAT reporting requirements when an account is identified as having two Large Traders as authorized traders.

In this example, the Industry Member reports two CAT Customers – one who is the account holder, and one who is a Registered Investment Adviser (RIA) with authorization to trade on the account. The RIA entered into the *role* of 'AUTH3RD' on June 5, 2017 and thus has a *roleStartDate* of '20170605'. The date on which the RIA's Large Trader ID became associated to the FDID within the Industry Member's system was September 10, 2020, and thus has an *ltidEffectiveDate* of '20200910'.

File	Data
| Data | ```
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "1A1042",
      "fdidType": "ACCOUNT",
      "accountType": ["INSTITUTION"],
      "accountName": "LargeTradingAccount2",
      "fdidDate": 20170605,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "1000 PARKWAY DR",
          "city": "BALTIMORE",
          "regionCode": "US-MD",
          "countryCode": "US",
          "postalCode": "21201"
        }
      ],
      "largeTraderList": [
``` |

File	Data
|  | ```json
      {
        "largeTraderRecordID": 1,
        "largeTraderID": "44444444-4444",
        "ltidEffectiveDate": 20170605
      },
      {
        "largeTraderRecordID": 2,
        "largeTraderID": "33333333-4444",
        "ltidEffectiveDate": 20200910
      }
    ],
    "fdidCustomerList": [
      {
        "customerRecordID": 1,
        "role": "TRDHOLDER",
        "roleStartDate": 20170605
      },
      {
        "customerRecordID": 2,
        "role": "AUTH3RD",
        "hasDiscretion": true,
        "roleStartDate": 20170605
      }
    ]
  }
],
"legalEntityCustomerList": [
    {
      "customerRecordID": 1,
      "legalName": "Large Trader Firm Inc.",
      "ein": "00-8734291",
      "customerType": ["ACCRDITED"],
      "lei": "R820KF73RWVX9104G22H",
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "1000 PARKWAY DR",
          "city": "BALTIMORE",
          "regionCode": "US-MD",
          "countryCode": "US",
          "postalCode": "21201"
        }
        ]
    },
    {
      "customerRecordID": 2,
      "legalName": "Registered Investment Mgmt Inc",
      "ein": "00-1821033",
      "customerType": ["ADVISER"],
      "lei": "22TR80KM4DWTZZ847W0P",
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "999 1ST PKWY",
          "city": "BALTIMORE",
``` |

File	Data

	`    "regionCode": "US-MD",`
	`    "countryCode": "US",`
	`    "postalCode": "21202"`
	`        }`
	`        ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`    "customerRecordID": 1,`
	`    "tidType": "EIN",`
	`    "tidValue":`
	`"1584f467024cdd8c85bf9e122f889ef3f59bca766035a8e9b5956aa67a996a10"`
	`    },`
	`    {`
	`    "customerRecordID": 2,`
	`    "tidType": "EIN",`
	`    "tidValue":`
	`"b81f7a005b28df09e91179e5ea763156a436e9d0e815c6f76387d8c27c8ed0d6"`
	`    }`
	`]`
	`}`

2.6.4. FDID with both LTID and ULTID

This scenario illustrates the CAT reporting requirements when an account is associated to two Large Traders, with one being an Unidentified Large Trader. The Industry Member is required to report the account to CAT CAIS, as well as the associated LTIDs. The Industry Member also reports one CAT Customer, who is the account holder.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`    "fdidRecordID": 1,`
	`    "firmDesignatedID": "1A0176",`
	`    "fdidType": "ACCOUNT",`
	`    "accountType": ["OTHER"],`
	`    "accountName": "LargeTradingAccount3",`
	`    "branchOfficeCRD": 12345,`
	`    "fdidDate": 20130514,`
	`    "clearingBrokerID": ["1234"],`
	`    "addressList": [`
	`        {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "999 1ST PKWY",`
	`        "city": "BALTIMORE",`
	`        "regionCode": "US-MD",`
	`        "countryCode": "US",`

File	Data
| | ```json
      "postalCode": "21202"
    }
  ],
  "largeTraderList": [
    {
      "largeTraderRecordID": 1,
      "largeTraderID": "ULTID555-5555",
      "ltidEffectiveDate": 20130514
    },
    {
      "largeTraderRecordID": 2,
      "largeTraderID": "22222222-2222",
      "ltidEffectiveDate": 20150824
    }
  ],
  "fdidCustomerList": [
    {
      "customerRecordID": 1,
      "role": "TRDHOLDER",
      "roleStartDate": 20130514
    },
    {
      "customerRecordID": 2,
      "role": "AUTH3RD",
      "hasDiscretion": true,
      "roleStartDate": 20150824
    }
  ]
}
],
"legalEntityCustomerList": [
  {
    "customerRecordID": 1,
    "legalName": "ULT Corp.",
    "ein": "00-2398122",
    "customerType": ["ACCREDITED"],
    "lei": "79145G2WKPLR78BX205R",
    "addressList": [
      {
        "addrType": "ADDRESS1",
        "addrLine1": "999 1ST PKWY",
        "city": "BALTIMORE",
        "regionCode": "US-MD",
        "countryCode": "US",
        "postalCode": "21202"  }
    ]
  },
  {
    "customerRecordID": 2,
    "legalName": "Registered Investment Mgmt Inc",
    "ein": "00-1821033",
    "customerType": ["ADVISER"],
    "lei": "22TR80KM4DWTZZ847W0P",
    "addressList": [
      {
``` |

File	Data

	``
	                "addrType": "ADDRESS1",
	                "addrLine1": "999 1ST PKWY",
	                "city": "BALTIMORE",
	                "regionCode": "US-MD",
	                "countryCode": "US",
	                "postalCode": "21202" }
	          ]
	      }
	  ]
	  }
	``

TIDs	```
	{
	"tidRecordList": [
	      {
	        "customerRecordID": 1,
	        "tidType": "EIN",
	        "tidValue":
	"1aeefe40168d64ea816336de1a1d2eb8cd32df53de534d3fcd0ed52e290bb278"
	      },
	      {
	        "customerRecordID": 2,
	        "tidType": "EIN",
	        "tidValue":
	" b81f7a005b28df09e91179e5ea763156a436e9d0e815c6f76387d8c27c8ed0d6"
	      }
	  ]
	  }
	``

2.6.5.   Ending an LTID Association to an FDID

This scenario illustrates the CAT reporting requirements when an account was previously submitted to, and accepted by, CAT CAIS, and one of the LTIDs associated to the FDID is determined to no longer be associated to the account. The Industry Member may explicitly end any LTID associations by including the *ltidEndDate* and *ltidEndReason*. Alternatively, the Industry Member may implicitly end any LTID associations by omitting them in a resubmission of the FDID Record. Ending this LTID's association to this FDID does not end its association to any other FDIDs. If the Industry Member must end this LTID's association to other FDIDs, it must submit the other FDIDs associated to the LTID Record and omit the LTIDs or populate the *ltidEndDate* and *ltidEndReason* for each FDID.

In this example, the Industry Member submits an FDID associated to a Large Trader Record with an *ltidEndDate* and *ltidEndReason* of 'ENDED'.

Option 1- Explicitly Ending the LTID Association

In this example, the Industry Member chooses to explicitly end the LTID association by providing an *ltidEndDate* and *ltidEndReason*.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "1A4627",`
	`        "fdidType": "ACCOUNT",`
	`        "accountType": ["OTHER"],`
	`        "accountName": "John's Trading Account",`
	`        "branchOfficeCRD": 12345,`
	`        "fdidDate": 20190924,`
	`        "clearingBrokerID": ["1234"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "15 N FIRST ST",`
	`            "city": "TAMPA",`
	`            "regionCode": "US-FL",`
	`            "countryCode": "US",`
	`            "postalCode": "33601"`
	`          }`
	`        ],`
	`        "largeTraderList": [`
	`          {`
	`            "largeTraderRecordID": 1,`
	`            "largeTraderID": "11111111-0000",`
	`            "ltidEffectiveDate": 20190924,`
	`            "ltidEndDate": 20210721,`
	`            "ltidEndReason": "ENDED"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 1,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20190924`
	`          }`
	`        ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "firstName": "John",`
	`        "lastName": "Miller",`
	`        "yearOfBirth": 1962,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "15 N FIRST ST",`
	`            "city": "TAMPA",`
	`            "regionCode": "US-FL",`
	`            "countryCode": "US",`
	`            "postalCode": "33601"`
	`          }`

File	Data

	<pre>]
	      }
	  ]
	}</pre>

TIDs	<pre>{
	"tidRecordList": [
	     {
	        "customerRecordID": 1,
	        "tidType": "SSN/ITIN",
	        "tidValue":
	"e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7532"
	     }
	  ]
	}</pre>

Option 2- Implicitly Ending the LTID Association

In this example, the Industry Member chooses to omit the LTID association from the FDID Record, which results in the implicit ending of the LTID association on the date of acknowledgment by CAIS.

File	Data

Data	<pre>{
	"fdidRecordList": [
	     {
	        "fdidRecordID": 1,
	        "firmDesignatedID": "1A4627",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "John's Trading Account",
	        "branchOfficeCRD": 12345,
	        "fdidDate": 20190924,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {
	             "addrType": "ADDRESS1",
	             "addrLine1": "15 N FIRST ST",
	             "city": "TAMPA",
	             "regionCode": "US-FL",
	             "countryCode": "US",
	             "postalCode": "33601"
	          }
	        ],
	        "fdidCustomerList": [
	          {
	             "customerRecordID": 1,
	             "role": "TRDHOLDER",
	             "roleStartDate": 20190924
	          }
	        ]
	     }
	  ],
	"naturalPersonCustomerList": [</pre>

File	Data

	{
	    "customerRecordID": 1,
	    "firstName": "John",
	    "lastName": "Miller",
	    "yearOfBirth": 1962,
	    "customerType": ["NOTAPPLICABLE"]
	    "addressList": [
	      {
	        "addrType": "ADDRESS1",
	        "addrLine1": "15 N FIRST ST",
	        "city": "TAMPA",
	        "regionCode": "US-FL",
	        "countryCode": "US",
	        "postalCode": "33601"
	      }
	      ]
	    }
	]
	}

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7532"
	    }
	]
	}

2.6.6. Reestablishing an LTID Association to an FDID

This scenario illustrates the CAT reporting requirements when an account has an ended association to an LTID, but the association must be reactivated as the Large Trader regains authority to trade on the account. In order to reestablish the LTID association, the Industry Member must resubmit the account and LTID association without the *ltidEndDate* or *ltidEndReason* attributes. Additionally, when an LTID to FDID association is ended and must be reestablished, the Industry Member must populate the *ltidEffectiveDate* with the date on which the LTID or ULTID became re-associated to the FDID within the Industry Member's system not the original LTID Effective Date. Also, if more than one LTID is associated to the FDID, all LTIDs must be included in the submission.

In this example, the Industry Member submits an account associated to a Large Trader record and omits the *ltidEndDate* and *ltidEndReason* attributes. The Industry Member also reports two CAT Customers.

Reestablishing Resubmission

File	Data
Data	{

File	Data

	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A0593",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "John's Advised Account",`
	`      "branchOfficeCRD": 12345,`
	`      "fdidDate": 20190924,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "15 N FIRST ST",`
	`          "city": "TAMPA",`
	`          "regionCode": "US-FL",`
	`          "countryCode": "US",`
	`          "postalCode": "33601"`
	`        }`
	`      ],`
	`      "largeTraderList": [`
	`        {`
	`          "largeTraderRecordID": 1,`
	`          "largeTraderID": "66666666-6666",`
	`          "ltidEffectiveDate": 20191124`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20190924`
	`        },`
	`        {`
	`          "customerRecordID": 2,`
	`          "role": "AUTH3RD",`
	`          "hasDiscretion": true,`
	`          "roleStartDate": 20190924`
	`        }`
	`      ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "John",`
	`      "lastName": "Miller",`
	`      "yearOfBirth": 1962,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "15 N FIRST ST",`
	`          "city": "TAMPA",`
	`          "regionCode": "US-FL",`

File	Data

	"countryCode": "US",
	          "postalCode": "33601"
	        }
	        ]
	      }
	    ],
	    "legalEntityCustomerList": [
	        {
	          "customerRecordID": 2,
	          "legalName": "Big Investment Adviser Inc.",
	          "ein": "00-3487888",
	          "customerType": ["ADVISER"],
	          "addressList": [
	            {
	              "addrType": "ADDRESS1",
	              "addrLine1": "1721 BAY AVENUE",
	              "city": "TAMPA",
	              "regionCode": "US-FL",
	              "countryCode": "US",
	              "postalCode": "33601"
	            }
	            ]
	        }
	    ]
	    }

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7532"
	    },
	    {
	      "customerRecordID": 2,
	      "tidType": "EIN",
	      "tidValue":
	"3ce543bba7e30b7c39edadf3a19e1c4ea708ab962c46423fd35af9d051fcd65e"
	    }
	]
	}

2.6.7.   Updating an ULTID with an LTID

This scenario illustrates the CAT reporting requirements when an account with an Unidentified Large Trader ID (ULTID) was previously submitted to and accepted by, CAT CAIS, and the Large Trader subsequently provides its LTID to the reporting Industry Member.

Updating this ULTID's association to this FDID does not update its association to any other FDIDs. If the Industry Member must update this ULTID's association to other FDIDs, it must submit the other FDID Records with updating information for each FDID.

Option 1- Explicitly Ending the ULTID Association

In this example, the Industry Member submits an updating FDID Record explicitly ending the Unidentified Large Trader's association to the FDID by submitting an *ltidEndDate* and *ltidEndReason* of 'REPLACED' and updating the FDID Record with the LTID provided by the Large Trader.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A4627",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "John's Trading Account",
"branchOfficeCRD": 12345,
"fdidDate": 20190924,
"clearingBrokerID": ["1234"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "15 N FIRST ST",
"city": "TAMPA",
"regionCode": "US-FL",
"countryCode": "US",
"postalCode": "33601"
}
],
"largeTraderList": [
{
"largeTraderRecordID": 937,
"largeTraderID": "ULT55555-0000",
"ltidEffectiveDate": 20210701,
"ltidEndDate": 20210721,
"ltidEndReason": "REPLACED"
},
{
"largeTraderRecordID": 938,
"largeTraderID": "33333333-4444",
"ltidEffectiveDate": 20210721
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20190924
},
{
"customerRecordID": 2,
"role": "AUTH3RD",
"hasDiscretion": true,
"roleStartDate": 20210701
}
]</pre>

File	Data
| | ```
        }
    ],
    "naturalPersonCustomerList": [
        {
            "customerRecordID": 1,
            "firstName": "John",
            "lastName": "Miller",
            "yearOfBirth": 1962,
            "customerType": ["NOTAPPLICABLE"],
            "addressList": [
                {
                    "addrType": "ADDRESS1",
                    "addrLine1": "15 N FIRST ST",
                    "city": "TAMPA",
                    "regionCode": "US-FL",
                    "countryCode": "US",
                    "postalCode": "33601"
                }
            ]
        }
    ],
    "legalEntityCustomerList": [
        {
            "customerRecordID": 2,
            "legalName": " Registered Investment Mgmt Inc",
            "ein": "00-1821011",
            "customerType": ["ADVISER"],
            "lei": "22TR80KM4DWTZZ847W0P",
            "addressList": [
                {
                    "addrType": "ADDRESS1",
                    "addrLine1": "999 1ST PKWY",
                    "city": "BALTIMORE",
                    "regionCode": "US-MD",
                    "countryCode": "US",
                    "postalCode": "21202"
                }
            ]
        }
    ]
}
``` |
| TIDs | ```
{
"tidRecordList": [
        {
            "customerRecordID": 1,
            "tidType": "SSN/ITIN",
            "tidValue":
"e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7621"
        },
        {
            "customerRecordID": 2,
            "tidType": "EIN",
            "tidValue":
"b81f7a005b28df09e91179e5ea763156a436e9d0e815c6f76387d8c27c8ed1cd"
        }
``` |

File	Data
	] }

Option 2- Implicitly Ending the ULTID Association

In this example, the Industry Member submits an updating FDID Record implicitly ending the Unidentified Large Trader's association to the FDID by omitting the ULTD from the submission and updating the FDID Record with the LTID provided by the Large Trader.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A4627",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "John's Trading Account",
"branchOfficeCRD": 12345,
"fdidDate": 20190924,
"clearingBrokerID": ["1234"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "15 N FIRST ST",
"city": "TAMPA",
"regionCode": "US-FL",
"countryCode": "US",
"postalCode": "33601"
}
],
"largeTraderList": [
{
"largeTraderRecordID": 938,
"largeTraderID": "33333333-4444",
"ltidEffectiveDate": 20210721
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20190924
},
{
"customerRecordID": 2,
"role": "AUTH3RD",
"hasDiscretion": true,
"roleStartDate": 20210701
}
]
}</pre>

File	Data

	``json
	    ],
	    "naturalPersonCustomerList": [
	        {
	            "customerRecordID": 1,
	            "firstName": "John",
	            "lastName": "Miller",
	            "yearOfBirth": 1962,
	            "customerType": ["NOTAPPLICABLE"],
	            "addressList": [
	              {
	                 "addrType": "ADDRESS1",
	                 "addrLine1": "15 N FIRST ST",
	                 "city": "TAMPA",
	                 "regionCode": "US-FL",
	                 "countryCode": "US",
	                 "postalCode": "33601"
	              }
	            ]
	        }
	    ],
	    "legalEntityCustomerList": [
	        {
	            "customerRecordID": 2,
	            "legalName": "Registered Investment Mgmt Inc",
	            "ein": "00-1821033",
	            "customerType": ["ADVISER"],
	            "lei": "22TR80KM4DWTZZ847W0P",
	            "addressList": [
	              {
	                 "addrType": "ADDRESS1",
	                 "addrLine1": "999 1ST PKWY",
	                 "city": "BALTIMORE",
	                 "regionCode": "US-MD",
	                 "countryCode": "US",
	                 "postalCode": "21202"
	              }
	            ]
	        }
	    ]
	}
	``

TIDs	```json
	{
	"tidRecordList": [
	    {
	        "customerRecordID": 1,
	        "tidType": "SSN/ITIN",
	        "tidValue":
	"e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7152"
	    },
	    {
	        "customerRecordID": 2,
	        "tidType": "EIN",
	        "tidValue":
	"b81f7a005b28df09e91179e5ea763156a436e9d0e815c6f76387d8c27c8ed0d6"
	    }
	]
	``

File	Data
	}

3. Customer Data Scenarios

This section illustrates samples scenarios for reporting Customer data in the CAIS JSON format. At least one Customer must be associated to each FDID within a submission file, and Customers cannot be reported to CAIS without being associated with at least one FDID Record. Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the CAT Reporting Customer and Account Technical Specifications for Industry Members- Full CAIS for additional information.

3.1. Natural Person Customer

For CAIS reporting purposes, any Customer whose *tidType* is 'SSN/ITIN' must be reported to CAIS in the *naturalPersonCustomerList*, even if the natural person is not the account holder. Examples include but are not limited to accounts owned by a trust or sole proprietor where the *tidType* is 'SSN/ITIN'. In these scenarios, the Industry Member must populate all required fields for the *naturalPersonCustomerList*, including *firstName* and *lastName*. Failure to include these required fields will result in a rejection of the Customer Record and, ultimately the FDID Record. In addition, if *tidType* is 'SSN/ITIN', and the Customer is not in the *naturalPersonCustomerList*, the FDID Record will reject.

3.1.1. Trust Using a Social Security Number

This scenario illustrates the CAT reporting requirements when the account holder is a trust and the *tidType* is 'SSN/ITIN'.

In this example, the CAT Customer is a trust reported to CAIS with an SSN as the Input Identifier. The Industry Member must populate the *firstName*, *lastName* and *yearOfBirth* fields with the data as it pertains to the natural person associated to the SSN. The *doingBusinessAs* field must be populated with the name of the trust and the *customerType* must include 'TRUST' and all other applicable allowable values as they pertain to the trust.

File	Data
| Data | ```
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "1A7758",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "CustAcct999",
      "branchOfficeCRD": 12345,
      "fdidDate": 20090312,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "150 SW ORANGE ST",
``` |

File	Data

	``
	                  "city": "BROOKLYN",
	                  "regionCode": "US-NY",
	                  "countryCode": "US",
	                  "postalCode": "11201"
	                }
	              ],
	              "fdidCustomerList": [
	                {
	                  "customerRecordID": 1,
	                  "role": "TRDHOLDER",
	                  "roleStartDate": 20090312
	                }
	              ]
	            }
	          ],
	          "naturalPersonCustomerList": [
	              {
	                  "customerRecordID": 1,
	                  "firstName": "John",
	                  "lastName": "Doe",
	                  "doingBusinessAs": "JOHN DOE LIVING TRUST",
	                  "yearOfBirth": 1982,
	                  "customerType": ["TRUST"],
	                  "addressList": [
	                    {
	                      "addrType": "ADDRESS1",
	                      "addrLine1": "150 SW ORANGE ST",
	                      "city": "BROOKLYN",
	                      "regionCode": "US-NY",
	                      "countryCode": "US",
	                      "postalCode": "11201"
	                    }
	                  ]
	              }
	          ]
	          }
	``

TIDs	```
	{
	"tidRecordList": [
	    {
	        "customerRecordID": 1,
	        "tidType": "SSN/ITIN",
	        "tidValue":
	"56c4d1ee2fa66991602dc80580116d195ca362d7a0b5647fea17f3e104c97944"
	    }
	]
	}
	``

3.1.2. Sole Proprietorship Using a Social Security Number

This scenario illustrates the CAT reporting requirements when the account holder is a sole proprietorship and the *tidType* is 'SSN/ITIN'.

In this example, the CAT Customer is a sole proprietorship reported to CAIS with an SSN as the Input Identifier. The Industry Member must populate the *firstName*, *lastName* and *yearOfBirth* fields with the data as it pertains to the natural person associated to the SSN. The *doingBusinessAs* field must be populated with the name of the sole proprietorship and the *customerType* must include all applicable allowable values as they pertain to the sole proprietorship.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	        "fdidRecordID": 1,
	        "firmDesignatedID": "1A3013",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "Sole Prop Acct1",
	        "fdidDate": 20150129,
	        "clearingBrokerID": ["1234"],
	
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "10 MOCKINGBIRD LN",
	            "city": "SALEM",
	            "regionCode": "US-OR",
	            "countryCode": "US",
	            "postalCode": "97301"
	          }
	        ],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 1,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20150129
	          }
	        ]
	    }
	],
	"naturalPersonCustomerList": [
	    {
	        "customerRecordID": 1,
	        "firstName": "MARIE",
	        "lastName": "JONES",
	        "doingBusinessAs": "MARIE'S BAKED GOODS",
	        "yearOfBirth": 1982,
	        "customerType": ["NOTAPPLICABLE"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "10 MOCKINGBIRD LN",
	            "city": "SALEM",
	            "regionCode": "US-OR",
	            "countryCode": "US",
	            "postalCode": "97301"
	          }</pre>

File	Data
	<pre>] }] }</pre>

TIDs	<pre>{
	"tidRecordList": [
	        {
	          "customerRecordID": 1,
	          "tidType": "SSN/ITIN",
	          "tidValue":
	"fe005258ee2114bcef531e2ff09d1fa3aea5a33dd2b32ee045d028d323386b1f"
	        }
	    ]
	}</pre>

3.1.3.   Multiple Trusts and a Natural Person Using the Same Social Security Number

This scenario illustrates the CAT reporting requirements when a Natural Person and two trusts are all CAT Customers associated with the same FDID and the Tax Identifier of the two trusts is the same as the Natural Person's Social Security Number (SSN).

As outlined in FAQ Q71, each CAT Customer must only have one active role in association to the FDID at a time. Therefore, an attempt to associate two or more active CAT Customers with the same SSN to the same FDID will result in a rejection. When multiple trusts and a Natural Person have the same Tax Identifier (i.e., SSN) and are all CAT Customers associated to the same FDID, Industry Members must report only the Natural Person in association to the FDID with the *doingBusinessAs* field populated with only one of the trusts that shares the Natural Person's SSN. The Natural Person must be identified in a role of 'TRDHOLDER', which indicates that the CAT Customer is a holder of the account that also has authorization to trade on the account. The Plan Participants are not prescribing a specific methodology for which trust must be reported in the *doingBusinessAs* field, and any methodology must be applied consistently by the Industry Member.

In this example, the Industry Member has identified one of the trusts associated to the FDID as the CAT Customer that must be reported to CAIS with an SSN as the Input Identifier. The Industry Member must populate the *firstName*, *lastName* and *yearOfBirth* fields with the data as it pertains to the Natural Person associated to the SSN. The *doingBusinessAs* field must be populated with the name of the designated trust and the *customerType* must include 'TRUST'. In addition, the *customerType* must include all other applicable allowable values as they pertain to the trust.

File	Data

Data	<pre>{
	"fdidRecordList": [
	        {
	          "fdidRecordID": 1,</pre>

File	Data

	`      "firmDesignatedID": "1A3618",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "CustAcct777",`
	`      "branchOfficeCRD": 12345,`
	`      "fdidDate": 20120102,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "555 SHERMAN RD",`
	`          "addrLine2": "SUITE 5",`
	`          "city": "ALBANY",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "12084"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20120102`
	`        }`
	`      ]`
	`    }`
	`  ],`
	`  "naturalPersonCustomerList": [`
	`      {`
	`      "customerRecordID": 1,`
	`      "firstName": "FATIMAH",`
	`      "lastName": "NASRI",`
	`      "doingBusinessAs": "NASRI FAMILY TRUST",`
	`      "yearOfBirth": 1982,`
	`      "customerType": ["TRUST"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "555 SHERMAN RD",`
	`          "addrLine2": "SUITE 5",`
	`          "city": "ALBANY",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "12084"`
	`        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`

File	Data

	`"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531emt"`
	`        }`
	`    ]`
	`}`

3.1.4. Multiple Sole Proprietorships and Natural Person Using the Same Social Security Number

This scenario illustrates the CAT reporting requirements when a Natural Person and two sole proprietorships are all CAT Customers associated with the same FDID and the Tax Identifier of the two sole proprietorships is the same as the Natural Person's Social Security Number (SSN).

As outlined in FAQ Q71, each CAT Customer must only have one active role in association to the FDID at a time. Therefore, an attempt to associate two or more active CAT Customers with the same SSN to the same FDID will result in a rejection. When multiple sole proprietorships and a Natural Person have the same Tax Identifier (i.e., SSN) and are all CAT Customers associated to the same FDID, Industry Members must report only the Natural Person in association to the FDID with the *doingBusinessAs* field populated with only one of the trusts that shares the Natural Person's SSN. The Natural Person must be identified in a role of 'TRDHOLDER', which indicates that the CAT Customer is a holder of the account that also has authorization to trade on the account. The Plan Participants are not prescribing a specific methodology for which trust must be reported in the *doingBusinessAs* field, and any methodology must be applied consistently by the Industry Member. In this example, the Industry Member has identified one of the sole proprietorships associated to the FDID as the CAT Customer that must be reported to CAIS with an SSN as the Input Identifier. The Industry Member must populate the *firstName*, *lastName* and *yearOfBirth* fields with the data as it pertains to the Natural Person associated to the SSN. The *doingBusinessAs* field must be populated with the name of the designated sole proprietorship. In addition, the *customerType* must include all applicable allowable values as they pertain to the sole proprietorship.

File	Data

Data	```{```
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A0049",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "SELENA'S SOLE PROP ACCOUNT",`
	`      "fdidDate": 20150129,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`

File	Data

	"addrType": "ADDRESS1",
	        "addrLine1": "150 SW ORANGE ST",
	        "city": "BROOKLYN",
	        "regionCode": "US-NY",
	        "countryCode": "US",
	        "postalCode": "11201"
	      }
	    ],
	      "fdidCustomerList": [
	        {
	        "customerRecordID": 1,
	        "role": "TRDHOLDER",
	        "roleStartDate": 20150129
	        }
	      ]
	    }
	  ],
	  "naturalPersonCustomerList": [
	    {
	      "customerRecordID": 1,
	      "firstName": "SELENA",
	      "lastName": "FERREIRA",
	      "doingBusinessAs": "SELENA'S GROCERY STORE",
	      "yearOfBirth": 1965,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	        "addrType": "ADDRESS1",
	        "addrLine1": "150 SW ORANGE ST",
	        "city": "BROOKLYN",
	        "regionCode": "US-NY",
	        "countryCode": "US",
	        "postalCode": "11201"
	        }
	      ]
	    }
	  ]

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"568ca9d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531jjh"
	    }
	]
	}

3.1.5. Foreign Trust Using Foreign Input Identifier for Authorized Trader

This scenario illustrates the CAT reporting requirements when the account holder is a foreign trust where an allowable Input Identifier value does not exist because the foreign country or foreign municipality does

not require or issue any kind of identifier for the foreign trust, and no such other allowable Input Identifier exists.

In this example, the account holder is a foreign trust that has no allowable Input Identifier because the foreign country or foreign municipality does not require or issue any kind of identifier; and no LEI is assigned to the entity. In addition, there is a trustee that is authorized to trade on the account. As outlined in FAQ Q63, the FDID Record may be reported to CAIS with no Customer Record for the foreign trust. However, all other CAT Customers (e.g., trustees that are Authorized Traders on the account) must be reported to CAIS with the *customerType* value of 'TRUST'. Therefore, the Industry Member will not include a Customer Record for the foreign trust but will include a Customer Record for the authorized trader and include a *customerType* value of 'TRUST'.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "FOR49D73",
"fdidType": " ACCOUNT",
"accountType": ["OTHER"],
"accountName": "ANOTHER FOREIGN TRUST EXAMPLE",
"branchOfficeCRD": 12345,
"fdidDate": 20230314,
"clearingBrokerID": ["1234"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "3579 WATERDALE COURT",
"city": "COFFS HARBOUR",
"regionCode": "NSW",
"countryCode": "AU",
"postalCode": "2450"
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "AUTH3RD",
"hasDiscretion": true,
"roleStartDate": 20230314
}
]
}
],
"naturalPersonCustomerList": [
{
"customerRecordID": 1,
"firstName": "DAYANA",
"lastName": "CAMPBELL",
"yearOfBirth": 1998,
"customerType": ["TRUST"],
"addressList": [</pre>

File	Data

	`{`
	`    "addrType": "ADDRESS1",`
	`    "addrLine1": "3579 WATERDALE COURT",`
	`    "city": "COFFS HARBOUR",`
	`    "regionCode": " NSW",`
	`    "countryCode": "AU",`
	`    "postalCode": "2450"`
	`                }`
	`            ]`
	`        }`
	`    ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "tidType": "FOREIGN"`
	`          "foreignTIDType": "DRIVERLICENSE",`
	`          "foreignTIDCountryCd": "AU",`
	`          "tidValue":`
	`"65a4d1cc2fa88661202eh80580116d195ca362d7a0b5647fea17f3e104c97543"`
	`        }`
	`    ]`
	`}`

3.2.   Legal Entity Customer

For CAIS reporting purposes, a Legal Entity is a CAT Customer whose Input Identifier used to generate the Customer's TID is an EIN, or, for a Foreign Legal Entity, a National Registration or Tax Identifier, LEI or other Government-Issued Identifier issued by a non-national level government body or agency, such as a regional agency. These Customers must be reported to CAIS in the *legalEntityCustomerList*.

3.2.1.   Name and Identifiers

This scenario illustrates the CAT reporting requirements for Legal Entity CAT Customers. Required attributes, such as *legalName* and *customerType*, must be included for each Legal Entity Customer Record in the CAIS Data File. All previously reported names of the customer will be retained in association to the currently submitted state of the record, even when a different name value is included in a subsequent submission of the Customer.

If the Input Identifier used to generate the Customer's TID was an EIN, the EIN must be populated in plaintext in the *ein* attribute in the Data file. Additionally, the Legal Entity Identifier (LEI) of the Customer must be populated in the *lei* attribute, if known to the firm.

If the Input Identifier used to generate the Customer's TID was an LEI, the LEI must be populated in plaintext in the *lei* attribute in the Data file.

In this example, the Industry Member is submitting to CAT CAIS an FDID with an association to one Legal Entity Customer whose TID was generated from an EIN. The Industry Member must populate the EIN in plaintext in the Data file.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA0867",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "Austin Corp",
	      "branchOfficeCRD": 12345,
	      "fdidDate": 20120520,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MAPLE AVE",
	          "city": "AUSTIN",
	          "regionCode": "US-TX",
	          "countryCode": "US",
	          "postalCode": "73301"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20120520
	        }
	      ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 1,
	      "legalName": "Austin Corp",
	      "ein": "00-9483717",
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MAPLE AVE",
	          "city": "AUSTIN",
	          "regionCode": "US-TX",
	          "countryCode": "US",
	          "postalCode": "73301"
	        }
	      ]
	    }
	]
	}</pre>

TIDs	<pre>{</pre>

File	Data

	``
	"tidRecordList": [
	    {
	       "customerRecordID": 1,
	       "tidType": "EIN",
	       "tidValue":
	"8f77654dbff9c5ab28f187a6d01e55288beb25db9ffc358aec8f3b030cc6d190"
	    }
	]
	}
	``

3.3.   Customer Address

This section illustrates the CAT reporting requirements for customer addresses. As explained in FAQ Q44, in instances where an Industry Member maintains separate addresses at the account and Customer level, then all such reasonably available addresses must be reported to CAIS. The Customer submission must contain all current address records maintained at the Customer level, up to four. If there are more than four addresses stored for a single Customer, the Industry Member may choose which four to report and must apply such methodology consistently for any updates to the Customer Record. If a previously stored address record is not included in a subsequent submission of a CAT Customer Record, the address record that is not received will no longer be stored as an address for that CAT Customer Record.

3.3.1.   Customer with an Address Different from FDID Address

This scenario illustrates the CAT reporting requirements when the Industry Member maintains different addresses at the FDID level and Customer level.

In this example, the Customer has a different address than the account. The address associated with the account must be reported as the FDID address and the Customer's address must be reported in the Customer Record.

File	Data

Data	```
	{
	"fdidRecordList": [
	    {
	       "fdidRecordID": 1,
	       "firmDesignatedID": "1A3618",
	       "fdidType": "ACCOUNT",
	       "accountType": ["OTHER"],
	       "accountName": "TrdAcct555",
	       "branchOfficeCRD": 12345,
	       "fdidDate": 20120102,
	       "clearingBrokerID": ["1234"],
	       "addressList": [
	          {
	             "addrType": "ADDRESS1",
	             "addrLine1": "10 BRIDGE ST",
	             "city": "BROOKLYN",
	``

File	Data

	"regionCode": "US-NY",
	          "countryCode": "US",
	          "postalCode": "11201"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20120102
	        }
	      ]
	    }
	  ],
	  "naturalPersonCustomerList": [
	    {
	      "customerRecordID": 1,
	      "firstName": "Anne",
	      "lastName": "James",
	      "yearOfBirth": 1982,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "555 SHERMAN RD",
	          "addrLine2": "SUITE 5",
	          "city": "ALBANY",
	          "regionCode": "US-NY",
	          "countryCode": "US",
	          "postalCode": "12084"
	        }
	      ]
	    }
	  ]
	}

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"40363dcbd2b778cf84e7e8c007c9930d56d42a9cdfc83b9871e5c1dbc7fecfb5"
	    }
	  ]
	}

3.3.2.   Customer with Multiple Addresses at the Customer Level

This scenario illustrates the CAT reporting requirements when the Industry Member maintains addresses at both the FDID level and Customer level and the Customer has multiple addresses. When reporting multiple address records, the Industry Member must use the *addrType* values corresponding to the

counts of addresses (for example, if two address records are included, they must be 'ADDRESS1' and 'ADDRESS2').

In this example, the Customer has four addresses so the Industry Member must report the address for the FDID and all four Customer addresses. The four Customer addresses are denoted in the *addressList* in the Customer Record as 'ADDRESS1', 'ADDRESS2', 'ADDRESS3', and 'ADDRESS4'.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A3330",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "TradingAcct000",
"branchOfficeCRD": 99999,
"fdidDate": 20061214,
"clearingBrokerID": ["1234"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "50 ELM DR",
"addrLine2": "MAPLE BUSINESS PARK",
"addrLine3": "SUITE 1500",
"city": "CHICAGO",
"regionCode": "US-IL",
"countryCode": "US",
"postalCode": "60007"
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20061214
}
]
}
],
"legalEntityCustomerList": [
{
"customerRecordID": 1,
"legalName": "Securities Trust LP",
"ein": "00-1194272",
"customerType": ["TRUST"],
"lei": "F0441BKGX8D21099WZ83",
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "999 NORTH 5TH ST",
"city": "CHICAGO",
"regionCode": "US-IL",
"countryCode": "US",</pre>

File	Data

	`          "postalCode": "60008"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS2",`
	`          "addrLine1": "20 MAGNOLIA RD",`
	`          "addrLine2": "ROOM 10",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60007"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS3",`
	`          "addrLine1": "500 S 100TH AVE",`
	`          "addrLine2": "BLDG 2",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60007"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS4",`
	`          "addrLine1": "PO BOX 12345",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60010"`
	`        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"af3e511c442cc7898c40299152b069fd3102e4a11b21b33ef773a5afbd4d11c2"`
	`    }`
	`]`
	`}`

3.4. Changes to Customer Transformed Identifiers

3.4.1. Change in Customer's Input Identifier – Same TID Type

This scenario illustrates the CAT reporting requirements when the Input Identifier that an Industry Member previously used to generate a Customer's TID was legally changed and the type of Input Identifier used to generate the TID value (*tidType*) remained the same. If the Customer is associated to more than one FDID at the Industry Member, the Industry Member must update the TID on all FDIDs that the Customer is associated to. In addition, the Industry Member must explicitly end the Customer's

previous *role* by including a *roleEndDate* and *roleEndReason* of 'REPLACED'. When replacing a TID due to a legal change in Input Identifier, it is not permissible to omit the Customer's previous *role.*

In this scenario, the Industry Member reports the Customer to CAIS for the first time using the Customer's ITIN as the Input Identifier. The Customer subsequently gained U.S. citizenship and was assigned an SSN. The Customer notified the Industry Member of its newly assigned SSN so the Industry Member must update the Customer Record. While the TID was legally changed from an ITIN to SSN, the type of Input Identifier used to generate the TID value ('SSN/ITIN') remained the same.

Original Submission with ITIN

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A0391",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "MARY'S ACCT",
	      "branchOfficeCRD": 12345,
	      "fdidDate": 20120129,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 PALM COURT",
	          "city": "TAMPA",
	          "regionCode": "US-FL",
	          "countryCode": "US",
	          "postalCode": "33601"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20120129
	        }
	      ]
	    },
	    {
	      "fdidRecordID": 2,
	      "firmDesignatedID": "1A0395",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "MARY'S OTHER ACCT",
	      "fdidDate": 20150916,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 PALM COURT",</pre>

File	Data

	``json
	            "city": "TAMPA",
	            "regionCode": "US-FL",
	            "countryCode": "US",
	            "postalCode": "33601"
	          }
	        ],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 1,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20150916
	          }
	        ]
	      },
	      {
	        "fdidRecordID": 3,
	        "firmDesignatedID": "1A0397",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "MARY'S THIRD ACCT",
	        "fdidDate": 20190613,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "1 PALM COURT",
	            "city": "TAMPA",
	            "regionCode": "US-FL",
	            "countryCode": "US",
	            "postalCode": "33601"
	          }
	        ],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 1,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20190613
	          }
	        ]
	      }
	    ],
	    "naturalPersonCustomerList": [
	      {
	        "customerRecordID": 1,
	        "firstName": "MARY",
	        "lastName": "MILLER",
	        "yearOfBirth": 1971,
	        "customerType": ["NOTAPPLICABLE"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "1 PALM COURT",
	            "city": "TAMPA",
	            "regionCode": "US-FL",
	            "countryCode": "US",
	``

File	Data

	`"postalCode": "33601"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"04f1772c416e037c0c0be238a5245110675bb7c92e58d95e4dfe9cc503246edd"`
	`    }`
	`]`
	`}`

Updating Submission with SSN

The Industry Member must report the Customer to CAIS with the new Input Identifier using the Customer's SSN.

In the CAIS Data file, the Industry Member must include (1) a record for the Customer being replaced including a *roleEndDate* and *roleEndReason* of 'REPLACED' in the *fdidCustomerList* (these attributes indicate the previous Customer Record is no longer associated to the FDID); and (2) a record for the replacing Customer with the *roleStartDate.* In this example, the Customer's *role* did not change when the Input Identifier changed, so the *roleStartDate* must be the original date the Customer entered into the *role* of 'TRDHOLDER'.

In the TIDs file, the Industry Member must include (1) the *customerRecordID* with the previous *tidType* and *tidValue;* the new TID Value in the *replacedByTID* attribute; and the new TID Type in the *replacedByTIDType* attribute; and (2) the *customerRecordID* with the new *tidType* and new *tidValue.*

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A0391",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "MARY'S ACCT",`
	`      "branchOfficeCRD": 12345,`
	`      "fdidDate": 20120129,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 PALM COURT",`

File	Data
| | ```json
      "city": "TAMPA",
      "regionCode": "US-FL",
      "countryCode": "US",
      "postalCode": "33601"
    }
  ],
  "fdidCustomerList": [
    {
      "customerRecordID": 1,
      "role": "TRDHOLDER",
      "roleStartDate": 20120129,
      "roleEndDate": 20220831,
      "roleEndReason": "REPLACED"
    },
    {
      "customerRecordID": 2,
      "role": "TRDHOLDER",
      "roleStartDate": 20120129
    }
  ]
},
{
  "fdidRecordID": 2,
  "firmDesignatedID": "1A0395",
  "fdidType": "ACCOUNT",
  "accountType": ["OTHER"],
  "accountName": "MARY'S OTHER ACCT",
  "fdidDate": 20150916,
  "clearingBrokerID": ["1234"],
  "addressList": [
    {
      "addrType": "ADDRESS1",
      "addrLine1": "1 PALM COURT",
      "city": "TAMPA",
      "regionCode": "US-FL",
      "countryCode": "US",
      "postalCode": "33601"
    }
  ],
  "fdidCustomerList": [
    {
      "customerRecordID": 1,
      "role": "TRDHOLDER",
      "roleStartDate": 20150916,
      "roleEndDate": 20220831,
      "roleEndReason": "REPLACED"
    },
    {
      "customerRecordID": 2,
      "role": "TRDHOLDER",
      "roleStartDate": 20150916
    }
  ]
},
{
``` |

File	Data

	`      "fdidRecordID": 3,`
	`      "firmDesignatedID": "1A0397",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "MARY'S THIRD ACCT",`
	`      "fdidDate": 20190613,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 PALM COURT",`
	`          "city": "TAMPA",`
	`          "regionCode": "US-FL",`
	`          "countryCode": "US",`
	`          "postalCode": "33601"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20190613,`
	`          "roleEndDate": 20220831,`
	`          "roleEndReason": "REPLACED"`
	`        },`
	`        {`
	`          "customerRecordID": 2,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20190613`
	`        }`
	`      ]`
	`    }`
	`  ],`
	`  "naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "MARY",`
	`      "lastName": "MILLER",`
	`      "yearOfBirth": 1971,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 PALM COURT",`
	`          "city": "TAMPA",`
	`          "regionCode": "US-FL",`
	`          "countryCode": "US",`
	`          "postalCode": "33601"`
	`        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "firstName": "MARY",`
	`      "lastName": "MILLER",`

File	Data

	``
	        "yearOfBirth": 1971,
	        "customerType": ["NOTAPPLICABLE"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "1 PALM COURT",
	            "city": "TAMPA",
	            "regionCode": "US-FL",
	            "countryCode": "US",
	            "postalCode": "33601"
	          }
	        ]
	      }
	    ]
	}
	``

TIDs	```
	{
	"tidRecordList": [
	    {
	        "customerRecordID": 1,
	        "tidType": "SSN/ITIN",
	        "tidValue":
	"04f1772c416e037c0c0be238a5245110675bb7c92e58d95e4dfe9cc503246edd",
	        "replacedByTID":
	"ecacfeee4fb716eb7817e96288ccdfdf03ed7c85b1f4ba3052fe44dbd158195a",
	        "replacedByTIDType": "SSN/ITIN"
	    },
	    {
	        "customerRecordID": 2,
	        "tidType": "SSN/ITIN",
	        "tidValue":
	" ecacfeee4fb716eb7817e96288ccdfdf03ed7c85b1f4ba3052fe44dbd158195a"
	    }
	]
	}
	``

3.4.2. Change in Customer's Input Identifier – Differing TID Types

This scenario illustrates the CAT reporting requirements when the Input Identifier that an Industry Member previously used to generate a Customer's TID was legally changed and the type of Input Identifier used to generate the TID value (*tidType*) changed as well. If the Customer is associated to more than one FDID at the Industry Member, the Industry Member must update the TID on all FDIDs that the Customer is associated to. In addition, the Industry Member must explicitly end the Customer's previous *role* by including a *roleEndDate* and *roleEndReason* of 'REPLACED'. When replacing a TID due to a legal change in Input Identifier, it is not permissible to omit the Customer's previous *role.*

In this example, the Customer is a Legal Entity which was previously reported to CAIS with an LEI as the Input Identifier. However, the Legal Entity has expanded to the U.S., obtained an EIN and notified the

Industry Member of its EIN. Since a U.S.-assigned Input Identifier is available for this CAT Customer. The Industry Member must report the Customer to CAIS with the new Input Identifier.

In the CAIS Data file, the Industry Member must include (1) a record for the Customer being replaced including a *roleEndDate* and *roleEndReason* of 'REPLACED' in the *fdidCustomerList* (these attributes indicate the previous Customer Record is no longer associated to the FDID); and (2) a record for the replacing Customer with the *roleStartDate.* In this example, the Customer's *role* did not change when the Input Identifier changed, so the *roleStartDate* must be original date the Customer entered into the *role* of 'TRDHOLDER'.

In the TIDs file, the Industry Member must include (1) the *customerRecordID* with the previous *tidType, foreignTIDType* and *tidValue;* the new TID Value in the *replacedByTID* attribute; and the new TID Type in the *replacedByTIDType* attribute; and (2) the *customerRecordID* with the new *tidType* and new *tidValue.*

Original Submission with LEI

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A1839",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "FOREIGN ACCT",
	      "branchOfficeCRD": 12345,
	      "fdidDate": 20050712,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "PRIVADA CALLE 1",
	          "city": "CHIHUAHUA",
	          "regionCode": "CHIHUAHUA",
	          "countryCode": "MX",
	          "postalCode": "31000"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20050712
	        }
	      ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 1,
	      "legalName": "BROKERS OF MEXICO INC.",</pre>

File	Data
	<pre> "customerType": ["FOREIGN"], "lei": "W01MVTR7289D03LRV81Z" } }</pre>

TIDs	<pre>{
	"tidRecordList": [
	    {
	       "customerRecordID": 1,
	       "tidType": "FOREIGN",
	       "foreignTIDType": "LEI",
	       "tidValue":
	"9ea1a76e5e52ae60e89912f66225e54c7da42e79791d5637822b69c75a210d83"
	    }
	]
	}</pre>

Updating Submission with EIN

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	       "fdidRecordID": 1,
	       "firmDesignatedID": "1A1839",
	       "fdidType": "ACCOUNT",
	       "accountType": ["OTHER"],
	       "accountName": "FOREIGN ACCT",
	       "branchOfficeCRD": 12345,
	       "fdidDate": 20050712,
	       "clearingBrokerID": ["1234"],
	       "addressList": [
	         {
	           "addrType": "ADDRESS1",
	           "addrLine1": "PRIVADA CALLE 1",
	           "city": "CHIHUAHUA",
	           "regionCode": "CHIHUAHUA",
	           "countryCode": "MX",
	           "postalCode": "31000"
	         }
	       ],
	       "fdidCustomerList": [
	         {
	           "customerRecordID": 1,
	           "role": "TRDHOLDER",
	           "roleStartDate": 20050712,
	           "roleEndDate": 20220831,
	           "roleEndReason": "REPLACED"
	         },
	         {
	           "customerRecordID": 2,
	           "role": "TRDHOLDER",
	           "roleStartDate": 20050712
	         }</pre>

File	Data

	`            ]`
	`        }`
	`    ],`
	`    "legalEntityCustomerList": [`
	`        {`
	`            "customerRecordID": 1,`
	`            "legalName": "BROKERS OF MEXICO INC.",`
	`            "customerType": ["FOREIGN"],`
	`            "lei": "W01MVTR7289D03LRV81Z",`
	`            "addressList": [`
	`                {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "PRIVADA CALLE 1",`
	`                    "city": "CHIHUAHUA",`
	`                    "regionCode": "CHIHUAHUA",`
	`                    "countryCode": "MX",`
	`                    "postalCode": "31000"`
	`                }`
	`            ]`
	`        },`
	`        {`
	`            "customerRecordID": 2,`
	`            "legalName": "BROKERS OF MEXICO INC.",`
	`            "ein": "00-4884819",`
	`            "customerType": ["BD"],`
	`            "lei": "W01MVTR7289D03LRV81Z",`
	`            "addressList": [`
	`                {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "PRIVADA CALLE 1",`
	`                    "city": "CHIHUAHUA",`
	`                    "regionCode": "CHIHUAHUA",`
	`                    "countryCode": "MX",`
	`                    "postalCode": "31000"`
	`                }`
	`            ]`
	`        }`
	`    ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "tidType": "FOREIGN",`
	`        "foreignTIDType": "LEI",`
	`        "tidValue":`
	`"9ea1a76e5e52ae60e89912f66225e54c7da42e79791d5637822b69c75a210d83",`
	`        "replacedByTID":`
	`"d63633e6049236992117c19701210f84b6342aa76cd3a8c98dee1bdd783c84a2",`
	`        "replacedByTIDType": "EIN"`
	`    },`
	`    {`
	`        "customerRecordID": 2,`
	`        "tidType": "EIN",`
	`        "tidValue":`

File	Data
	"d63633e6049236992117c19701210f84b6342aa76cd3a8c98dee1bdd783c84a2" }] }

3.4.3. Replacing Legal Change in EIN

This scenario illustrates the CAT reporting requirements for reporting a legal change in a CAT Customer's EIN. Due to a merger, the Legal Entity CAT Customer's EIN value has changed and the Customer notified the Industry Member of its updated EIN. Therefore, the originally reported TID value must be replaced. Additionally, since the Input Identifier used to generate the Customer's new TID is an EIN, the Industry Member must report this Customer with a new TID generated from the new EIN, in addition to reporting the new, plaintext EIN within the CAIS Data file.

The updated *tidValue* for the CAT Customer must be propagated across all FDID associations at the Industry Member.

Original Submission

File	Data

Data	```
	{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA0019",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "Bkr Acct 19",
	      "fdidDate": 20190502,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MAPLE AVE",
	          "city": "AUSTIN",
	          "regionCode": "US-TX",
	          "countryCode": "US",
	          "postalCode": "73301"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20190502
	        }
	      ]
	    }
	  ],
	``

File	Data

	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "ABC Corporation",`
	`      "ein": "00-3583529",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "5 MAPLE AVE",`
	`          "city": "AUSTIN",`
	`          "regionCode": "US-TX",`
	`          "countryCode": "US",`
	`          "postalCode": "73301"`
	`        }`
	`      ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"ffb84a69fcb89a4a5d07584a0d1bec5ee6ec4e258d5a1410d37277ec1130b785"`
	`    }`
	`]`
	`}`

Updating Submission

The Industry Member must report the Customer to CAIS with the new Input Identifier. Since an EIN was used to generate the TID, the Industry Member must populate the EIN in plaintext in the *ein* field.

In addition, in the CAIS Data file, the Industry Member must include a record for the replacing Customer with the *roleStartDate.* In this example, the Customer's *role* did not change when the Input Identifier changed, so the *roleStartDate* must be the original date the Customer entered into the *role* of 'TRDHOLDER'. In addition, the Industry Member must explicitly end the Customer's previous *role* by including a *roleEndDate* and *roleEndReason* of 'REPLACED'. When replacing a TID due to a legal change in Input Identifier, it is not permissible to omit the Customer's previous *role* and the *roleEndDate* and *roleEndReason* must be populated.

In the TIDs file, the Industry Member must include (1) the *customerRecordID* with the previous *tidType* and *tidValue;* the new TID Value in the *replacedByTID* attribute; and the new TID Type in the *replacedByTIDType* attribute; and (2) the *customerRecordID* with the new *tidType* and new *tidValue.*

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "IA0019",`
	`        "fdidType": "ACCOUNT",`
	`        "accountType": ["OTHER"],`
	`        "accountName": "Bkr Acct 19",`
	`        "fdidDate": 20190502,`
	`        "clearingBrokerID": ["1234"],`
	`        "addressList": [`
	`            {`
	`                "addrType": "ADDRESS1",`
	`                "addrLine1": "5 MAPLE AVE",`
	`                "city": "AUSTIN",`
	`                "regionCode": "US-TX",`
	`                "countryCode": "US",`
	`                "postalCode": "73301"`
	`            }`
	`        ],`
	`        "fdidCustomerList": [`
	`            {`
	`                "customerRecordID": 1,`
	`                "role": "TRDHOLDER",`
	`                "roleStartDate": 20190502,`
	`                "roleEndDate": 20220712,`
	`                "roleEndReason": "REPLACED"`
	`            },`
	`            {`
	`                "customerRecordID": 2,`
	`                "role": "TRDHOLDER",`
	`                "roleStartDate": 20190502         }`
	`        ]`
	`    }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "legalName": "ABC Corporation",`
	`        "ein": "00-3583529",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`            {`
	`                "addrType": "ADDRESS1",`
	`                "addrLine1": "5 MAPLE AVE",`
	`                "city": "AUSTIN",`
	`                "regionCode": "US-TX",`
	`                "countryCode": "US",`
	`                "postalCode": "73301"`
	`            }`
	`        ]`
	`    },`
	`    {`
	`        "customerRecordID": 2,`
	`        "legalName": "ABC Corporation",`

File	Data

	`          "ein": "00-4577325",`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "5 MAPLE AVE",`
	`              "city": "AUSTIN",`
	`              "regionCode": "US-TX",`
	`              "countryCode": "US",`
	`              "postalCode": "73301"`
	`            }`
	`          ]`
	`        }`
	`      ]`
	`    }`

TIDs	`{`
	`"tidRecordList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "tidType": "EIN",`
	`          "tidValue":`
	`"ffb84a69fcb89a4a5d07584a0d1bec5ee6ec4e258d5a1410d37277ec1130b785",`
	`          "replacedByTIDType": "EIN",`
	`          "replacedByTID":`
	`"4c8f21e1d71b0d1520858ea4903a2212d82f8f3d2cf8f1beccc059388e3d3087"`
	``
	`        },`
	`        {`
	`          "customerRecordID": 2,`
	`          "tidType": "EIN",`
	`          "tidValue":`
	`"4c8f21e1d71b0d1520858ea4903a2212d82f8f3d2cf8f1beccc059388e3d3087"`
	`        }`
	`    ]`
	`}`

3.4.4. Change in Customer's Foreign Input Identifier - Same TID Type

This scenario illustrates the CAT reporting requirements for reporting a change in a CAT Customer's foreign Input Identifier when the *tidType* value ('FOREIGN') remains the same.

In this example, the Industry Member will use the *replacedByTID* functionality. If the *replacedByTIDType* is 'FOREIGN', the Industry Member is also required to populate the *replacingForeignTIDType* and *replacingForeignTIDCountryCd* fields, as applicable.

If the Customer is associated to more than one FDID at the Industry Member, the Industry Member must update the TID on all FDIDs that the Customer is associated to. In addition, the Industry Member must explicitly end the Customer's previous *role* by including a *roleEndDate* and *roleEndReason* of

'REPLACED'. When replacing a TID value due to a legal change in an Input Identifier, it is not permissible to omit the Customer's previous role.

In this example, the Customer has two accounts at the Industry Member and the Industry Member reports the Customer to CAIS for the first time using the Customer's driver's license as the foreign Input Identifier (*foreignTIDType* of 'DRIVERLICENSE'). Upon expiration of the driver license, the Industry Member is provided with the Customer's valid passport and updates its books and records. The Industry Member must generate a new *tidValue* for the Customer which must be reported to CAIS for all Customer-to-FDID associations at the Industry Member.

Original Submission with Driver License

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA1389",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "SAMIRA'S TRADING ACCOUNT",
	      "fdidDate": 20200907,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MISSISQUOI BAY",
	          "city": "KNOWLTON",
	          "regionCode": "CA-QC",
	          "countryCode": "CA",
	          "postalCode": "JOE-1V0"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 23,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20220907
	        }
	      ]
	    },
	    {
	      "fdidRecordID": 2,
	      "firmDesignatedID": "IA1390",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "SAMIRA'S OTHER TRADING ACCOUNT",
	      "fdidDate": 20190604,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MISSISQUOI BAY",</pre>

File	Data

	`      "city": "KNOWLTON",`
	`      "regionCode": "CA-QC",`
	`      "countryCode": "CA",`
	`      "postalCode": "JOE-1V0"`
	`    }`
	`  ],`
	`  "fdidCustomerList": [`
	`    {`
	`      "customerRecordID": 5,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20190604`
	`    }`
	`  ]`
	`}`
	`],`
	`"naturalPersonCustomerList": [`
	`  {`
	`    "customerRecordID": 23,`
	`    "firstName": "SAMIRA",`
	`    "lastName": "MURTHY",`
	`    "yearOfBirth": "1965",`
	`    "customerType": ["FOREIGN"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`
	`        "city": "KNOWLTON",`
	`        "regionCode": "CA-QC",`
	`        "countryCode": "CA",`
	`        "postalCode": "JOE-1V0"`
	`      }`
	`    ]`
	`  },`
	`  {`
	`    "customerRecordID": 5,`
	`    "firstName": "SAMIRA",`
	`    "middleName": "DEEPTI",`
	`    "lastName": "MURTHY",`
	`    "yearOfBirth": "1965",`
	`    "customerType": ["FOREIGN"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`
	`        "city": "KNOWLTON",`
	`        "regionCode": "CA-QC",`
	`        "countryCode": "CA",`
	`        "postalCode": "JOE 1V0"`
	`      },`
	`      {`
	`        "addrType": "ADDRESS2",`
	`        "addrLine1": "17 N FIRST ST",`
	`        "city": "TAMPA",`
	`        "regionCode": "US-FL",`
	`        "countryCode": "US",`

File	Data
	"postalCode": "33601" }] }] }

TIDs	{
	"tidRecordList": [
	      {
	         "customerRecordID": 23,
	         "tidType": "FOREIGN",
	         "foreignTIDType": "DRIVERLICENSE",
	         "foreignTIDCountryCd": "CA",
	         "tidValue":
	"fe68a21fc76bba7b3a3d8e454eca8cd258de68fd08dddf035f23ddbdce6fc049"
	      },
	      {
	         "customerRecordID": 5,
	         "tidType": "FOREIGN",
	         "foreignTIDType": "DRIVERLICENSE",
	         "foreignTIDCountryCd": "CA",
	         "tidValue":
	"fe68a21fc76bba7b3a3d8e454eca8cd258de68fd08dddf035f23ddbdce6fc049"
	      }
	]
	}

Updating Submission

The Industry Member must report the Customer to CAIS with the new Input Identifier using the Customer's passport.

In the CAIS Data File, the Industry Member must include (1) a record for the Customer being replaced including a *roleEndDate* and *roleEndReason* of 'REPLACED' in the *fdidCustomerList* (these attributes indicate the previous Customer Record is no longer associated to the FDID); and (2) a record for the replacing Customer with the *roleStartDate*. In this example, the Customer's *role* did not change when the Input Identifier changed, so the *roleStartDate* must be the original date the Customer entered into the *role* of 'TRDHOLDER'.

In the Transformed Identifiers file, the Industry Member must include (1) the *customerRecordID* with the previous *tidType*, *foreignTIDType*, *foreignTIDCountryCd,* and *tidValue,* and the *replacedByTIDType, replacingForeignTIDType, replacingForeignTIDCountryCd* and *replacedByTID*; and (2) the *customerRecordID* with the new *tidType, foreignTIDType, foreignTIDCountryCd and tidValue*.

File	Data
Data	{ "fdidRecordList": [{

File	Data

	`    "fdidRecordID": 1,`
	`    "firmDesignatedID": "IA1389",`
	`    "fdidType": "ACCOUNT",`
	`    "accountType": ["OTHER"],`
	`    "accountName": "SAMIRA'S TRADING ACCOUNT",`
	`    "fdidDate": 20220907,`
	`    "clearingBrokerID": ["1234"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`
	`        "city": "KNOWLTON",`
	`        "regionCode": "CA-QC",`
	`        "countryCode": "CA",`
	`        "postalCode": "JOE-1V0"`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 23,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20200907,`
	`        "roleEndDate": 20231206,`
	`        "roleEndReason": "REPLACED"`
	`      },`
	`      {`
	`        "customerRecordID": 24,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20200907`
	`      }`
	`    ]`
	`  },`
	`  {`
	`    "fdidRecordID": 2,`
	`    "firmDesignatedID": "IA1390",`
	`    "fdidType": "ACCOUNT",`
	`    "accountType": ["OTHER"],`
	`    "accountName": "SAMIRA'S OTHER TRADING ACCOUNT",`
	`    "fdidDate": 20190604,`
	`    "clearingBrokerID": ["1234"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`
	`        "city": "KNOWLTON",`
	`        "regionCode": "CA-QC",`
	`        "countryCode": "CA",`
	`        "postalCode": "JOE 1V0"`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 5,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20190604,`

File	Data

	`      "roleEndDate": 20231206,`
	`      "roleEndReason": "REPLACED"`
	`    },`
	`    {`
	`      "customerRecordID": 6,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20190604`
	`    }`
	`  ]`
	`  }`
	`],`
	`"naturalPersonCustomerList": [`
	`  {`
	`    "customerRecordID": 23,`
	`    "firstName": "SAMIRA",`
	`    "lastName": "MURTHY",`
	`    "yearOfBirth": "1965",`
	`    "customerType": ["FOREIGN"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`
	`        "city": "KNOWLTON",`
	`        "regionCode": "CA-QC",`
	`        "countryCode": "CA",`
	`        "postalCode": "JOE-1V0"`
	`      },`
	`    ]`
	`  },`
	`  {`
	`    "customerRecordID": 24,`
	`    "firstName": "SAMIR",`
	`    "lastName": "MURTHY",`
	`    "yearOfBirth": 1965,`
	`    "customerType": ["FOREIGN"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`
	`        "city": "KNOWLTON",`
	`        "regionCode": "CA-QC",`
	`        "countryCode": "CA",`
	`        "postalCode": "J0E 1V0"`
	`    },`
	`    {`
	`    "customerRecordID": 5,`
	`    "firstName": "SAMIRA",`
	`    "middleName": "DEEPTI",`
	`    "lastName": "MURTHY",`
	`    "yearOfBirth": "1965",`
	`    "customerType": ["FOREIGN"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "5 MISSISQUOI BAY",`

File	Data

	``
	          "city": "KNOWLTON",
	          "regionCode": "CA-QC",
	          "countryCode": "CA",
	          "postalCode": "JOE-1V0"
	        },
	        {
	          "addrType": "ADDRESS2",
	          "addrLine1": "17 N FIRST ST",
	          "city": "TAMPA",
	          "regionCode": "US-FL",
	          "countryCode": "US",
	          "postalCode": "33601"
	      },
	      {
	        "customerRecordID": 6,
	        "firstName": "SAMIRA",
	        "middleName": "DEEPTI",
	        "lastName": "MURTHY",
	        "yearOfBirth": 1965,
	        "customerType": ["FOREIGN"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "5 MISSISQUOI BAY",
	            "city": "KNOWLTON",
	            "regionCode": "CA-QC",
	            "countryCode": "CA",
	            "postalCode": "J0E 1V0"
	          },
	          {
	            "addrType": "ADDRESS2",
	            "addrLine1": "17 N FIRST ST",
	            "city": "TAMPA",
	            "regionCode": "US-FL",
	            "countryCode": "US",
	            "postalCode": "33601"
	          }
	        ]
	      }
	    ]
	  }
	``

TIDs	```
	{
	"tidRecordList": [
	    {
	      "customerRecordID": 23,
	      "tidType": "FOREIGN",
	      "foreignTIDType": "DRIVERLICENSE"
	      "foreignTIDCountryCd": "CA"
	      "tidValue":
	"fe68a21fc76bba7b3a3d8e454eca8cd258de68fd08dddf035f23ddbdce6fc049",
	      "replacedbyTIDType": "FOREIGN",
	      "replacingForeignTIDType": "PASSPORT",
	      "replacingForeignTIDCountryCd": "CA",
	      "replacedByTID":
	"eccfd9d35d5b8aba4622278355e216200f09e782ac766c21b56415259f1be5de"
	``

File	Data
	``
	},
{
"customerRecordID": 24,
"tidType": "FOREIGN",
"foreignTIDType": "PASSPORT",
"foreignTIDCountryCd": "CA",
"tidValue":
"eccfd9d35d5b8aba4622278355e216200f09e782ac766c21b56415259f1be5de"
},
{
"customerRecordID": 5,
"tidType": "FOREIGN",
"foreignTIDType": "DRIVERLICENSE"
"foreignTIDCountryCd": "CA",
"tidValue":
"fe68a21fc76bba7b3a3d8e454eca8cd258de68fd08dddf035f23ddbdce6fc049",
"replacedByTIDType": "FOREIGN",
"replacingForeignTIDType": "PASSPORT",
"replacingForeignTIDCountryCd": "CA",
"replacedByTID":
"eccfd9d35d5b8aba4622278355e216200f09e782ac766c21b56415259f1be5de"
},
{
"customerRecordID": 6,
"tidType": "FOREIGN",
"foreignTIDType": "PASSPORT",
"foreignTIDCountryCd": "CA",
"tidValue":
"eccfd9d35d5b8aba4622278355e216200f09e782ac766c21b56415259f1be5de"
]
}

3.5.   Multiple Versions of a Customer Within a Submission File

It is acceptable to report all FDID Records within a single submission in association with a single *customerRecordID* value so that the firm does not need to duplicate the data of the CAT Customer for each account. The Customer's *role*, *roleStartDate, roleEndDate,* and *roleEndReason* do not need to be the same across each of the associated FDIDs. In this reporting structure, the single *customerRecordID* is associated to each FDID, however the CAT Customer data is present only once within the CAIS Data file and the TIDs file. Alternatively, it is acceptable to report the same CAT Customer with multiple *customerRecordID* values, each with an association to one or more FDID Records. The data for the CAT Customer is repeated within the CAIS Data file as well, once for each *customerRecordID*, and the same TID value is repeated within the TIDs file once for each *customerRecordID*. No matter which alternative the Industry Member chooses, each version of the CAT Customer must not contain data materially different from other versions of the Customer within the same file if this would result in a Material Inconsistency as set forth in the "Inconsistencies" section of the CAT Reporting Customer and Account

Information Technical Specifications for Industry Members-Full CAIS. The data stored in CAIS will consist of the merged set of entries across the submitted versions of the Customer.

3.5.1. Multiple Firm-Owned Accounts Demonstrating Customer Record Optionality

This scenario illustrates the CAT reporting requirements when an Industry Member is reporting multiple accounts that are owned by the firm, where the only CAT Customer on the accounts is the firm itself and the only parties authorized to trade in the accounts are employees of the Industry Member. The Industry Member is not required to report its employees as Authorized Traders on the accounts.

Option 1 - Same *customerRecordID*

It is acceptable to report all of the accounts in association with a single *customerRecordID* value within the *legalEntityCustomerList*, so that the firm does not need to duplicate the data of the CAT Customer for each account. The Customer's *role*, *roleStartDate, roleEndDate,* and *roleEndReason* do not need to be the same across each of the associated FDIDs. In this reporting structure, the single *customerRecordID* is associated to each FDID, however the CAT Customer data is present only once within the CAIS Data file and the TIDs file.

In this example, the Industry Member reports three FDIDs, each with an association to the single *customerRecordID* value.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A9574",
	      "fdidType": "ACCOUNT",
	      "accountType": ["FIRM"],
	      "accountName": "PropAcct1",
	      "fdidDate": 20050821,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 WATERS ST",
	          "city": "JERSEY CITY",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "07097"
	        }
	      ],
	      "largeTraderList": [
	        {
	          "largeTraderRecordID": 1,
	          "largeTraderID": "12345678-0000",
	          "ltidEffectiveDate": 20150101
	        }
	      ],</pre>

File	Data

	``json
	    "fdidCustomerList": [
	      {
	        "customerRecordID": 1,
	        "role": "TRDHOLDER",
	        "roleStartDate": 20050821
	      }
	    ]
	  },
	  {
	    "fdidRecordID": 2,
	    "firmDesignatedID": "1A3016",
	    "fdidType": "ACCOUNT",
	    "accountType": ["FIRM", "MARKET"],
	    "accountName": "MrktMkr",
	    "fdidDate": 20120301,
	    "clearingBrokerID": ["1234"],
	    "addressList": [
	      {
	        "addrType": "ADDRESS1",
	        "addrLine1": "1 WATERS ST",
	        "city": "JERSEY CITY",
	        "regionCode": "US-NJ",
	        "countryCode": "US",
	        "postalCode": "07097"
	      }
	    ],
	    "largeTraderList": [
	      {
	        "largeTraderRecordID": 1,
	        "largeTraderID": "12345678-9999",
	        "ltidEffectiveDate": 20150101
	      }
	    ],
	    "fdidCustomerList": [
	      {
	        "customerRecordID": 1,
	        "role": "TRDHOLDER",
	        "roleStartDate": 20120301
	      }
	    ]
	  },
	  {
	    "fdidRecordID": 3,
	    "firmDesignatedID": "1A4496",
	    "fdidType": "ACCOUNT",
	    "accountType": ["FIRM"],
	    "accountName": "AnotherFirmAccount",
	    "fdidDate": 20191201,
	    "clearingBrokerID": ["1234"],
	    "addressList": [
	      {
	        "addrType": "ADDRESS1",
	        "addrLine1": "1 WATERS ST",
	        "city": "JERSEY CITY",
	        "regionCode": "US-NJ",
	``

File	Data
| | ```
                "countryCode": "US",
                "postalCode": "07097"
            },
            {
                "addrType": "ADDRESS2",
                "addrLine1": "253 MAIN ST",
                "city": "JACKSONVILLE",
                "regionCode": "US-FL",
                "countryCode": "US",
                "postalCode": "32034"
            }
        ],
        "largeTraderList": [
            {
                "largeTraderRecordID": 1,
                "largeTraderID": "99999999-0001",
                "ltidEffectiveDate": 20191201
            }
        ],
        "fdidCustomerList": [
            {
                "customerRecordID": 1,
                "role": "TRDHOLDER",
                "roleStartDate": 20191201
            }
        ]
    }
],
"legalEntityCustomerList": [
    {
        "customerRecordID": 1,
        "legalName": "CAT Reporter Firm Name",
        "ein": "00-9727341",
        "customerType": ["BD"],
        "lei": "L49S8SWR48C4MFGH8ZH1",
        "addressList": [
            {
                "addrType": "ADDRESS1",
                "addrLine1": "1 WATERS ST",
                "city": "JERSEY CITY",
                "regionCode": "US-NJ",
                "countryCode": "US",
                "postalCode": "07097"
            },
            {
                "addrType": "ADDRESS2",
                "addrLine1": "253 MAIN ST",
                "city": "JACKSONVILLE",
                "regionCode": "US-FL",
                "countryCode": "US",
                "postalCode": "32034"
            }
        ]
    }
]
``` |

File	Data
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"dc7232533673aa251694afab7091cf4e7ecb885fd80cefeff91df442dba855bb"`
	`    }`
	`]`
	`}`

Option 2 - Different *customerRecordID*s

Option 2 is an alternative reporting approach to Option 1, above.

In Option 2, the same CAT Customer is reported with multiple *customerRecordID* values, one for each association to the FDID Record. The data for the CAT Customer is repeated within the CAIS Data file as well, once for each *customerRecordID*, and the same TID value is repeated within the TIDs file once for each *customerRecordID*. The below example has 3 FDIDs with three different *customerRecordID* values.

It is not permissible for the Industry Member to populate different values for the *ein* or else all versions of the Customer within the file will reject.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A3175",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["FIRM"],`
	`      "accountName": "PropAcct1",`
	`      "fdidDate": 20050821,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ],`
	`      "largeTraderList": [`
	`        {`
	`          "largeTraderRecordID": 1,`
	`          "largeTraderID": "10101010-1111",`

File	Data

	`        "ltidEffectiveDate": 20150101`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20050821`
	`      }`
	`    ]`
	`  },`
	`  {`
	`    "fdidRecordID": 2,`
	`    "firmDesignatedID": "1A0059",`
	`    "fdidType": "ACCOUNT",`
	`    "accountType": ["FIRM", "MARKET"],`
	`    "accountName": "MrktMkr",`
	`    "fdidDate": 20120301,`
	`    "clearingBrokerID": ["1234"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "1 WATERS ST",`
	`        "city": "JERSEY CITY",`
	`        "regionCode": "US-NJ",`
	`        "countryCode": "US",`
	`        "postalCode": "07097"`
	`      }`
	`    ],`
	`    "largeTraderList": [`
	`      {`
	`        "largeTraderRecordID": 1,`
	`        "largeTraderID": "90909090-0000",`
	`        "ltidEffectiveDate": 20150101`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 35,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20120301`
	`      }`
	`    ]`
	`  },`
	`  {`
	`    "fdidRecordID": 3,`
	`    "firmDesignatedID": "1A3102",`
	`    "fdidType": "ACCOUNT",`
	`    "accountType": ["FIRM"],`
	`    "accountName": "AnotherFirmAccount",`
	`    "fdidDate": 20191201,`
	`    "clearingBrokerID": ["1234"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`

File	Data
| | ```
          "addrLine1": "1 WATERS ST",
          "city": "JERSEY CITY",
          "regionCode": "US-NJ",
          "countryCode": "US",
          "postalCode": "07097"
        },
        {
          "addrType": "ADDRESS2",
          "addrLine1": "253 MAIN ST",
          "city": "JACKSONVILLE",
          "regionCode": "US-FL",
          "countryCode": "US",
          "postalCode": "32034"
        }
      ],
      "largeTraderList": [
        {
          "largeTraderRecordID": 1,
          "largeTraderID": "55556666-7777",
          "ltidEffectiveDate": 20150101
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 50,
          "role": "TRDHOLDER",
          "roleStartDate": 20120301
        }
      ]
    }
  ],
  "legalEntityCustomerList": [
    {
      "customerRecordID": 1,
      "legalName": "CAT Reporter Firm Name",
      "ein": "00-9727341",
      "customerType": ["BD"],
      "lei": "L49S8SWR48C4MFGH8ZH1",
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "1 WATERS ST",
          "city": "JERSEY CITY",
          "regionCode": "US-NJ",
          "countryCode": "US",
          "postalCode": "07097"
        }
        ]
    },
    {
      "customerRecordID": 35,
      "legalName": "CAT Reporter Firm Name",
      "ein": "00-9727341",
      "customerType": ["BD"],
      "lei": "L49S8SWR48C4MFGH8ZH1",
``` |

File	Data

	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 50,`
	`      "legalName": "CAT Reporter Firm Name",`
	`      "ein": "00-9727341",`
	`      "customerType": ["BD"],`
	`      "lei": "L49S8SWR48C4MFGH8ZH1",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS2",`
	`          "addrLine1": "253 MAIN ST",`
	`          "city": "JACKSONVILLE",`
	`          "regionCode": "US-FL",`
	`          "countryCode": "US",`
	`          "postalCode": "32034"`
	`        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"dc7232533673aa251694afab7091cf4e7ecb885fd80cefeff91df442dba855bb"`
	`    },`
	`    {`
	`      "customerRecordID": 35,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"dc7232533673aa251694afab7091cf4e7ecb885fd80cefeff91df442dba855bb"`
	`    },`
	`    {`
	`      "customerRecordID": 50,`
	`      "tidType": "EIN",`

File	Data
	"tidValue": "dc7232533673aa251694afab7091cf4e7ecb885fd80cefeff91df442dba855bb" }] }

3.5.2. Multiple Versions of Natural Person Customer with Multiple Customer Records

In this example, the Industry Member is submitting two versions of a single Natural Person Customer, associated to three different FDIDs. The Industry Member is permitted to associated *customerRecordID* '1' to *fdidRecordID* '1' and *fdidRecordID* '2' because the values in the Customer Record (*firstName*, *middleName*, *lastName*, *yearOfBirth, customerType* and Customer address) are the same. However, the Industry Member must create and report a different *customerRecordID* ('2', in this example) for *fdidRecordID* '3' because it is owned by a trust that conducts business under a name other than the Natural Person's legal name. In such scenarios, the *doingBusinessAs* attribute must be present and populated in the Customer Record.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A4041",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "JimsTrdngAcct",
	      "branchOfficeCRD": 12345,
	      "fdidDate": 20140624,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "999 South 1st Circle",
	          "city": "Trenton",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "08616"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20140624
	        }
	      ]
	    },
	    {</pre>

File	Data

	`          "fdidRecordID": 2,`
	`          "firmDesignatedID": "1A8961",`
	`          "fdidType": "ACCOUNT",`
	`          "accountType": ["OTHER"],`
	`          "accountName": "JimsTrdngAcct2",`
	`          "clearingBrokerID": ["1234"],`
	`          "branchOfficeCRD": 12345,`
	`          "fdidDate": 20160817,`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "999 South 1st Circle",`
	`              "city": "Trenton",`
	`              "regionCode": "US-NJ",`
	`              "countryCode": "US",`
	`              "postalCode": "08616"`
	`            }`
	`          ],`
	`          "fdidCustomerList": [`
	`            {`
	`              "customerRecordID": 1,`
	`              "role": "TRDHOLDER",`
	`              "roleStartDate": 20160817`
	`            }`
	`          ]`
	`        },`
	`        {`
	`          "fdidRecordID": 3,`
	`          "firmDesignatedID": "1B0987",`
	`          "fdidType": "ACCOUNT",`
	`          "accountType": ["OTHER"],`
	`          "accountName": "JAMES WILLIAMS LIVING TRUST",`
	`          "fdidDate": 20160920,`
	`          "clearingBrokerID": ["1234"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "999 South 1st Circle",`
	`              "city": " Trenton",`
	`              "regionCode": "US-NJ",`
	`              "countryCode": "US",`
	`              "postalCode": "08616"`
	`            }`
	`          ],`
	`          "fdidCustomerList": [`
	`            {`
	`              "customerRecordID": 2,`
	`              "role": "TRDHOLDER",`
	`              "roleStartDate": 20160920`
	`            }`
	`          ]`
	`        }`
	`      ],`
	`      "naturalPersonCustomerList": [`
	`        {`

File	Data

	<pre> "customerRecordID": 1,
	          "firstName": "Jim",
	          "middleName": "R.",
	          "lastName": "Williams",
	          "yearOfBirth": 1972,
	          "customerType": ["NOTAPPLICABLE"],
	          "addressList": [
	            {
	              "addrType": "ADDRESS1",
	              "addrLine1": "999 South 1st Circle",
	              "city": "Trenton",
	              "regionCode": "US-NJ",
	              "countryCode": "US",
	              "postalCode": "08616"
	            }
	          ]
	        },
	        {
	          "customerRecordID": 2,
	          "firstName": "James",
	          "lastName": "Williams",
	          "doingBusinessAs": "JAMES WILLIAMS LIVING TRUST",
	          "yearOfBirth": 1972,
	          "customerType": ["TRUST"],
	          "addressList": [
	            {
	              "addrType": "ADDRESS1",
	              "addrLine1": "999 South 1st Circle",
	              "city": "Trenton",
	              "regionCode": "US-NY",
	              "countryCode": "US",
	              "postalCode": "08616"
	            },
	            {
	              "addrType": "ADDRESS2",
	              "addrLine1": "5 North Market St",
	              "city": "Trenton",
	              "regionCode": "US-NY",
	              "countryCode": "US",
	              "postalCode": "08616"
	            },
	            {
	              "addrType": "ADDRESS3",
	              "addrLine1": "1 Palm Pl",
	              "addrLine2": "Suite 3",
	              "city": "Trenton",
	              "regionCode": "US-NY",
	              "countryCode": "US",
	              "postalCode": "08617"
	            }
	          ]
	        }
	      ]
	    }</pre>

TIDs	<pre>{</pre>

File	Data
| | ```
"tidRecordList": [
    {
      "customerRecordID": 1,
      "tidType": "SSN/ITIN",
      "tidValue":
"360ae6aeb548ab78ffcb9032ac5213ec74d0017c229078fdca586b663d20d13e"
    },
    {
      "customerRecordID": 2,
      "tidType": "SSN/ITIN",
      "tidValue":
"360ae6aeb548ab78ffcb9032ac5213ec74d0017c229078fdca586b663d20d13e"
    }
]
}
``` |

3.5.3. Multiple Versions of Legal Entity Customer with Multiple Customer Records

This scenario illustrates the CAT reporting requirements when an Industry Member has multiple versions of a single Legal Entity Customer.

In this example, the Industry Member is submitting three versions of a single Legal Entity Customer, each version associated to a different FDID. A total of six unique addresses will be stored in CAIS for the Legal Entity Customer in this example, as differing addresses were submitted for each instance of the Customer. Additionally, a total of three Legal Names will be stored for this Customer, each with a timestamp of receipt. All names and addresses across all associated FDIDs associated to this Customer will be made available for Regulator query.

No material inconsistencies will be generated when the Customer's *tidValue* reported in the Transformed Identifiers File is the same and the plaintext *ein* reported in the CAIS Data File is the same, even though the names and addresses are different.

File	Data
| Data | ```
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "1A3310",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "First LE Account",
      "branchOfficeCRD": 12345,
      "fdidDate": 20070802,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "10 NORTH PALM ST.",
``` |

```
              "city": "NAPLES",
              "regionCode": "US-FL",
              "countryCode": "US",
              "postalCode": "34102"
            }
          ],
          "fdidCustomerList": [
            {
              "customerRecordID": 1,
              "role": "TRDHOLDER",
              "roleStartDate": 20070802
            }
          ]
        },
        {
          "fdidRecordID": 2,
          "firmDesignatedID": "IA3311",
          "fdidType": "ACCOUNT",
          "accountType": ["OTHER"],
          "accountName": "Second LE Account",
          "branchOfficeCRD": 12345,
          "fdidDate": 20140920,
          "clearingBrokerID": ["1234"],
          "addressList": [
            {
              "addrType": "ADDRESS1",
              "addrLine1": "5000 SPRING WAY",
              "city": "PITTSBURGH",
              "regionCode": "US-PA",
              "countryCode": "US",
              "postalCode": "15106"
            }
          ],
          "fdidCustomerList": [
            {
              "customerRecordID": 2,
              "role": "TRDHOLDER",
              "roleStartDate": 20140920
            }
          ]
        },
        {
          "fdidRecordID": 3,
          "firmDesignatedID": "IA3312",
          "fdidType": "ACCOUNT",
          "accountType": ["DVP/RVP"],
          "DVPCustodianID": ["9999"],
          "accountName": "Third LE Account",
          "branchOfficeCRD": 99999,
          "fdidDate": 20110106,
          "clearingBrokerID": ["1234"],
          "addressList": [
            {
              "addrType": "ADDRESS1",
              "addrLine1": "10 PINEAPPLE PL",
```

File	Data

	`        "city": "BALTIMORE",`
	`        "regionCode": "US-MD",`
	`        "countryCode": "US",`
	`        "postalCode": "21213"`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 3,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20110106`
	`      }`
	`    ]`
	`  }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "XYZ Securities Management L.L.C.",`
	`      "ein": "00-9192311",`
	`      "customerType": ["BD"],`
	`      "lei": "88372RGFK892W105VM33",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 NORTH PALM ST.",`
	`          "city": "NAPLES",`
	`          "regionCode": "US-FL",`
	`          "countryCode": "US",`
	`          "postalCode": "34102"`
	`        },`
	`        {`
	`          "addrType": "ADDRESS2",`
	`          "addrLine1": "12 NORTH PALM ST.",`
	`          "city": "NAPLES",`
	`          "regionCode": "US-FL",`
	`          "countryCode": "US",`
	`          "postalCode": "15106"`
	`        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "legalName": "XYZ SEC MGMT LLC",`
	`      "ein": "00-9192311",`
	`      "customerType": ["BD"],`
	`      "lei": "88372RGFK892W105VM33",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "5000 SPRING WAY ",`
	`          "city": "PITTSBURGH",`
	`          "regionCode": "US-PA",`
	`          "countryCode": "US",`
	`          "postalCode": "15106"`

File	Data

	``
	          }
	        ]
	      },
	      {
	        "customerRecordID": 3,
	        "legalName": "XYZ SECURITIES MGMT, LLC",
	        "ein": "00-9192311",
	        "customerType": ["BD"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "10 PINEAPPLE PL",
	            "city": "BALTIMORE",
	            "regionCode": "US-MD",
	            "countryCode": "US",
	            "postalCode": "21213"
	          },
	          {
	            "addrType": "ADDRESS2",
	            "addrLine1": "600 SOUTH THIRD ST",
	            "city": "CHICAGO",
	            "regionCode": "US-IL",
	            "countryCode": "US",
	            "postalCode": "60606"
	          },
	          {
	            "addrType": "ADDRESS3",
	            "addrLine1": "1 CASTLE DRIVE",
	            "addrLine2": "SUITE 3",
	            "city": "BALTIMORE",
	            "regionCode": "US-MD",
	            "countryCode": "US",
	            "postalCode": "21213"
	          }
	        ]
	      }
	    ]
	  }
	``

TIDs	```
	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "EIN",
	      "tidValue":
	"e860f1d1ca4c1e7de86468752dba08f69143522bf245dd3f8377286f920c4308"
	    },
	    {
	      "customerRecordID": 2,
	      "tidType": "EIN",
	      "tidValue":
	"e860f1d1ca4c1e7de86468752dba08f69143522bf245dd3f8377286f920c4308"
	    },
	    {
	      "customerRecordID": 3,
	      "tidType": "EIN",
	``

File	Data
	"tidValue": "e860f1d1ca4c1e7de86468752dba08f69143522bf245dd3f8377286f920c4308" }] }

3.5.4. Repairing a Customer Record Rejection Due to Another Version of Customer Being Rejected

This scenario illustrates the CAT reporting requirements when multiple versions of a single Customer are submitted within the same file, but one version is rejected. In that scenario, all versions of the Customer with the file, as reconciled to a single *tidValue*, will reject.

In this example, the *legalName* attribute is not present or populated for *customerRecordID* '1'. Because *legalName* is a required attribute for Legal Entity CAT Customers, this version of the CAT Customer is rejected with Error Code 22530 (Missing or Invalid *legalName*). In addition, all other versions of the Customer (regardless of FDID associations) within the same file will be rejected with Error Code 22529 (Customer Record rejected because another version of the Customer was rejected). All FDID Records associated to the rejected Customer Records will reject with Error Code 22048 (Associated Customer Record rejected). Resolving the original Customer Record rejection for Error Code 22530 (Missing or Invalid *legalName*) will resolve all other related rejections, such as the rejection for Error Code 22529 and Error Code 22048.

It is permissible for the Industry Member to populate the *legalName* attribute with different values for different versions of the same Legal Entity CAT Customer. However, it is not permissible for the Industry Member to populate different values for the *ein* or else all versions of the Customer within the file will reject.

Original Submission with Error

File	Data

Data	```
	{
	"fdidRecordList": [
	    {
	     "fdidRecordID": 1,
	     "firmDesignatedID": "1A5971",
	     "fdidType": "ACCOUNT",
	     "accountType": ["OTHER"],
	     "accountName": "First LE Account",
	     "fdidDate": 20070802,
	     "clearingBrokerID": ["1234"],
	     "addressList": [
	      {
	       "addrType": "ADDRESS1",
	       "addrLine1": "10 NORTH PALM ST.",```

File	Data
| | ```json
          "city": "NAPLES",
          "regionCode": "US-FL",
          "countryCode": "US",
          "postalCode": "34102"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 1,
          "role": "TRDHOLDER",
          "roleStartDate": 20070802
        }
      ]
    },
    {
      "fdidRecordID": 2,
      "firmDesignatedID": "IA5970",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "Second LE Account",
      "fdidDate": 20140920,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "5000 SPRING WAY",
          "city": "PITTSBURGH",
          "regionCode": "US-PA",
          "countryCode": "US",
          "postalCode": "15106"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 2,
          "role": "TRDHOLDER",
          "roleStartDate": 20140920
        }
      ]
    },
    {
      "fdidRecordID": 3,
      "firmDesignatedID": "IA3087",
      "fdidType": "ACCOUNT",
      "accountType": ["DVP/RVP"],
      "DVPCustodianID": ["8888"],
      "accountName": "Third LE Account",
      "fdidDate": 20110106,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "10 PINEAPPLE PL",
          "city": "BALTIMORE",
          "regionCode": "US-MD",
``` |

File	Data

	`            "countryCode": "US",`
	`            "postalCode": "21213"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 3,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20110106`
	`          }`
	`        ]`
	`      }`
	`    ],`
	`    "legalEntityCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "ein": "00-5239710",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 NORTH PALM ST.",`
	`            "city": "NAPLES",`
	`            "regionCode": "US-FL",`
	`            "countryCode": "US",`
	`            "postalCode": "34102"`
	`          }`
	`        ]`
	`      },`
	`      {`
	`        "customerRecordID": 2,`
	`        "legalName": "CLIENT FIRM XYZ COMPANY",`
	`        "ein": "00-5239710",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "5000 SPRING WAY",`
	`            "city": "PITTSBURGH",`
	`            "regionCode": "US-PA",`
	`            "countryCode": "US",`
	`            "postalCode": "15106"`
	`          }`
	`        ]`
	`      },`
	`      {`
	`        "customerRecordID": 3,`
	`        "legalName": "CLIENT FIRM XYZ CO.",`
	`        "ein": "00-5239710",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "10 PINEAPPLE PL",`
	`            "city": "BALTIMORE",`

File	Data
	<pre> "regionCode": "US-MD", "countryCode": "US", "postalCode": "21213" }] }] }</pre>

TIDs	<pre>{
	"tidRecordList": [
	      {
	        "customerRecordID": 1,
	        "tidType": "EIN",
	        "tidValue":
	"7f6c1986eb60d1ee313c2055674e4d6c79f2ce78a2ae9f8f83a89b12ac459ff3"
	      },
	      {
	        "customerRecordID": 2,
	        "tidType": "EIN",
	        "tidValue":
	"7f6c1986eb60d1ee313c2055674e4d6c79f2ce78a2ae9f8f83a89b12ac459ff3"
	      },
	      {
	        "customerRecordID": 3,
	        "tidType": "EIN",
	        "tidValue":
	"7f6c1986eb60d1ee313c2055674e4d6c79f2ce78a2ae9f8f83a89b12ac459ff3"
	      }
	]
	}</pre>

Repairing Submission

In this submission, the firm repairs the Customer Record rejection by adding a valid *legalName* attribute for *customerRecordID* '1'. Because the repairing submission includes the original FDID that received the 22048 Error Code, this resubmission results in the resolution of the FDID rejection (Error Code 22048) and the rejection of all other versions of the Customer (Error Code 22529).

File	Data

Data	<pre>{
	"fdidRecordList": [
	      {
	        "fdidRecordID": 1,
	        "firmDesignatedID": "1A5971",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "First LE Account",
	        "fdidDate": 20070802,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {</pre>

File	Data
| | ```json
        "addrType": "ADDRESS1",
        "addrLine1": "10 NORTH PALM ST.",
        "city": "NAPLES",
        "regionCode": "US-FL",
        "countryCode": "US",
        "postalCode": "34102"
      }
    ],
    "fdidCustomerList": [
      {
        "customerRecordID": 1,
        "role": "TRDHOLDER",
        "roleStartDate": 20070802
      }
    ]
  },
  {
    "fdidRecordID": 2,
    "firmDesignatedID": "IA5970",
    "fdidType": "ACCOUNT",
    "accountType": ["OTHER"],
    "accountName": "Second LE Account",
    "fdidDate": 20140920,
    "clearingBrokerID": ["1234"],
    "addressList": [
      {
        "addrType": "ADDRESS1",
        "addrLine1": "5000 SPRING WAY",
        "city": "PITTSBURGH",
        "regionCode": "US-PA",
        "countryCode": "US",
        "postalCode": "15106"
      }
    ],
    "fdidCustomerList": [
      {
        "customerRecordID": 2,
        "role": "TRDHOLDER",
        "roleStartDate": 20140920
      }
    ]
  },
  {
    "fdidRecordID": 3,
    "firmDesignatedID": "IA3087",
    "fdidType": "ACCOUNT",
    "accountType": ["DVP/RVP"],
    "DVPCustodianID": ["8888"],
    "accountName": "Third LE Account",
    "fdidDate": 20110106,
    "clearingBrokerID": ["1234"],
    "addressList": [
      {
        "addrType": "ADDRESS1",
        "addrLine1": "10 PINEAPPLE PL",
``` |

File	Data

	``json
	          "city": "BALTIMORE",
	          "regionCode": "US-MD",
	          "countryCode": "US",
	          "postalCode": "21213"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 3,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20110106
	        }
	      ]
	    }
	  ],
	  "legalEntityCustomerList": [
	    {
	      "customerRecordID": 1,
	      "legalName": "CLIENT FIRM XYZ CO",
	      "ein": "00-5239710",
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "10 NORTH PALM ST.",
	          "city": "NAPLES",
	          "regionCode": "US-FL",
	          "countryCode": "US",
	          "postalCode": "34102"
	        }
	      ]
	    },
	    {
	      "customerRecordID": 2,
	      "legalName": "CLIENT FIRM XYZ COMPANY",
	      "ein": "00-5239710",
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5000 SPRING WAY",
	          "city": "PITTSBURGH",
	          "regionCode": "US-PA",
	          "countryCode": "US",
	          "postalCode": "15106"
	        }
	      ]
	    },
	    {
	      "customerRecordID": 3,
	      "legalName": "CLIENT FIRM XYZ CO.",
	      "ein": "00-5239710",
	      "customerType": ["NOTAPPLICABLE"]
	      "addressList": [
	        {
	``

File	Data

	``
	            "addrType": "ADDRESS1",
	            "addrLine1": "10 PINEAPPLE PL",
	            "city": "BALTIMORE",
	            "regionCode": "US-MD",
	            "countryCode": "US",
	            "postalCode": "21213"
	          }
	        ]
	      }
	  ]
	}
	``

TIDs	```
	{
	"tidRecordList": [
	     {
	       "customerRecordID": 1,
	       "tidType": "EIN",
	       "tidValue":
	"7f6c1986eb60d1ee313c2055674e4d6c79f2ce78a2ae9f8f83a89b12ac459ff3"
	     },
	     {
	       "customerRecordID": 2,
	       "tidType": "EIN",
	       "tidValue":
	"7f6c1986eb60d1ee313c2055674e4d6c79f2ce78a2ae9f8f83a89b12ac459ff3"
	     },
	     {
	       "customerRecordID": 3,
	       "tidType": "EIN",
	       "tidValue":
	"7f6c1986eb60d1ee313c2055674e4d6c79f2ce78a2ae9f8f83a89b12ac459ff3"
	     }
	]
	}
	``

3.5.5.   Repairing a Customer Record Rejection Due to the FDID being Rejected

This scenario illustrates the CAT reporting requirements when a CAT Customer Record is rejected because the FDID(s) it was associated to rejected.

In this example, the FDID Record is rejected because a required attribute, *fdidDate*, is not present or populated. This results in a rejection with Error Code 22007 (Missing or Invalid format of *fdidDate*). The associated Customer Record is also rejected because the FDID Record was rejected. This results in Error Code 22523 (Customer Record rejected because an associated FDID was rejected). Resolving the FDID Record rejection will resolve the rejection for Error Code 22523.

Original Submission with Error

File	Data

Data	```
	{
	"fdidRecordList": [
	``

File	Data
| | ```json
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "IA1118",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "ABC Corp",
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "5 MAPLE AVE",
          "city": "AUSTIN",
          "regionCode": "US-TX",
          "countryCode": "US",
          "postalCode": "73301"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 1,
          "role": "TRDHOLDER",
          "roleStartDate": 20120520
        }
      ]
    }
  ],
  "legalEntityCustomerList": [
      {
        "customerRecordID": 1,
        "legalName": "ABC Corp",
        "ein": "00-3057412",
        "customerType": ["NOTAPPLICABLE",
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "5 MAPLE AVE",
            "city": "AUSTIN",
            "regionCode": "US-TX",
            "countryCode": "US",
            "postalCode": "73301"
          }
        ]
      }
  ]
}
``` |
| TIDs | ```json
{
"tidRecordList": [
    {
      "customerRecordID": 1,
      "tidType": "EIN",
      "tidValue":
"78668117ae015072dd194c0bca1fb0a919cfe1b29c8bc963e497354a706a8e1e"
    }
]
}
``` |

Repairing Submission

In this submission, the firm repairs the FDID Record rejection by submitting a properly formatted *fdidDate* for *fdidRecordID* '1'. Because the repairing submission includes the original Customer that received the 22523 Error Code, this resubmission results in the resolution of the FDID rejection (Error Code 22007) and the Customer rejection (Error Code 22523).

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA1118",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "ABC Corp",
	      "fdidDate": 20120520,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MAPLE AVE",
	          "city": "AUSTIN",
	          "regionCode": "US-TX",
	          "countryCode": "US",
	          "postalCode": "73301"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20120520
	        }
	      ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 1,
	      "legalName": "ABC Corp",
	      "ein": "00-3057412",
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "5 MAPLE AVE",
	          "city": "AUSTIN",
	          "regionCode": "US-TX",
	          "countryCode": "US",
	          "postalCode": "73301"
	        }</pre>

File	Data
	<pre>] }] }</pre>

TIDs	<pre>{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "EIN",
	      "tidValue":
	"78668117ae015072dd194c0bca1fb0a919cfe1b29c8bc963e497354a706a8e1e"
	    }
	]
	}</pre>

4. Customer and Account Reporting Scenarios

This section illustrates the combined Customer and account data reporting requirements for common Customer and account scenarios. Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the [CAT Reporting Customer and Account Technical Specifications for Industry Members- Full CAIS](#) for additional information.

4.1. Firm Owned Accounts

4.1.1. Firm-Owned Account with only Employees authorized to trade

This scenario illustrates the CAT reporting requirements when an Industry Member is reporting a firm-owned account, where the only CAT Customer on the account is the firm itself and the only parties authorized to trade in the account are employees of the Industry Member. The Industry Member is reported with a *role* of 'TRDHOLDER', as it is the beneficial holder of the account and is authorized to trade on the account, and the Industry Member is not required to report its employees as Authorized Traders on the account.

In this example, the *customerType* is populated with 'BD', since the Industry Member is a U.S. registered broker-dealer. The Industry Member also reports its Large Trader ID and Legal Entity Identifier (LEI).

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1A4085",
	      "fdidType": "ACCOUNT",
	      "accountType": ["FIRM"],
	      "accountName": "PropAcct1",
	      "fdidDate": 20050821,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 WATERS ST",
	          "city": "JERSEY CITY",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "07097"
	        }
	      ],
	      "largeTraderList": [
	        {
	          "largeTraderRecordID": 1,
	          "largeTraderID": "00000000-0001",
	          "ltidEffectiveDate": 20150101
	        }</pre>

File	Data

	],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 1,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20050821
	          }
	        ]
	      }
	    ],
	    "legalEntityCustomerList": [
	      {
	        "customerRecordID": 1,
	        "legalName": "CAT Reporter Firm Name",
	        "ein": "00-2192955",
	        "customerType": ["BD"],
	        "lei": "L49S8SWR48C4MFGH8ZH1",
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "1 WATERS ST",
	            "city": "JERSEY CITY",
	            "regionCode": "US-NJ",
	            "countryCode": "US",
	            "postalCode": "07097"
	          }
	        ]
	      }
	    ]
	  }

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "EIN",
	      "tidValue":
	"8caf6f28a2e293d5a12b107afe11fee79a1a20d72c6b297290282a2a7f9f44bb"
	    }
	]
	}

4.1.2. Firm-Owned Average Price Account Used for Multiple Customers

This scenario illustrates the CAT reporting requirements when the account reported to CAIS represents a firm-owned average price account used for multiple Customers, where the only CAT Customer on the account is the firm itself and the only parties authorized to trade in the account are employees of the Industry Member. The Industry Member is not required to report its employees as Authorized Traders on the account.

Since this is a firm-owned average price account, the *accountType* must include 'AVERAGE'. The Industry Member is reported with a *role* of 'TRDHOLDER', as it is the beneficial holder of the account and is authorized to trade on the account.

File	Data

Data	{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 224,
	      "firmDesignatedID": "1A4845",
	      "fdidType": "ACCOUNT",
	      "accountType": ["AVERAGE", "FIRM"],
	      "accountName": "AVGPRICE",
	      "fdidDate": 20210115,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "123 MAIN ST.",
	          "city": "SAN FRANCISCO",
	          "regionCode": "US-CA",
	          "countryCode": "US",
	          "postalCode": "94016"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 23,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20210115
	        }
	      ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 23,
	      "legalName": "Broker Dealer ABC",
	      "ein": "00-9218388",
	      "customerType": ["BD"],
	      "lei": "L49S8SWR48C4MFGH8ZH1",
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "123 MAIN ST.",
	          "city": "SAN FRANCISCO",
	          "regionCode": "US-CA",
	          "countryCode": "US",
	          "postalCode": "94016" }
	      ]
	    }
	]
	}

TIDs	{ "tidRecordList": [{ "customerRecordID": 23, "tidType": "EIN", "tidValue": "cc1a0c104324aeb0159fc79195977d19794d594036d893f23a6ec23e6b4fe930"

File	Data

	``
	        }
	    ]
	}
	``

4.2. Customer Accounts

This section illustrates the CAT reporting requirements when the account reported to CAT is not owned by the reporting Industry Member.

4.2.1. Account with Only One Holder

This scenario illustrates the CAT reporting requirements for an account on which there is a single trading Customer.

In this example, the account is a basic retirement account established by the account holder who also has authorization to trade on the Account and is reported with a *role* of 'TRDHOLDER'. The *accountType* must include 'RETIREMENT'.

File	Data

Data	```json
	{
	"fdidRecordList": [
	    {
	        "fdidRecordID": 2000,
	        "firmDesignatedID": "1A25978",
	        "fdidType": "ACCOUNT",
	        "accountType": ["RETIREMENT"],
	        "accountName": "Joseph's Retirement Account",
	        "fdidDate": 20210115,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "415 MAIN BOULEVARD",
	            "city": "CHICAGO",
	            "regionCode": "US-IL",
	            "countryCode": "US",
	            "postalCode": "60176"
	          }
	        ],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 40,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20210115
	          }
	        ]
	    }
	],
	"naturalPersonCustomerList": [
	    {
	        "customerRecordID": 40,
	``

File	Data

	`          "firstName": "JOSEPH",`
	`          "middleName": "WALTER",`
	`          "lastName": "SMYTHE",`
	`          "nameSuffix": "SENIOR",`
	`          "yearOfBirth": 1981,`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "23 MAIN AVE",`
	`              "city": "PALATINE",`
	`              "regionCode": "US-IL",`
	`              "countryCode": "US",`
	`              "postalCode": "60038"`
	`            }`
	`          ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`        "customerRecordID": 40,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"7d428d1e6f7ddf14973c2c0df79ccc87912322c68ca500f29b27cf5bee487ed5"`
	`      }`
	`    ]`
	`  }`

4.2.2. Account Holder and Industry Member as Authorized Trader

This scenario illustrates the CAT reporting requirements when the account reported to CAIS has two Customers: an account holder and an Authorized Trader who is not a holder of the Account.

In this example, the Industry Member is an Authorized Trader on the account who has authority to place orders for the Account without prior approval of the account holder. Both the account holder and the Authorized Trader Industry Member must be reported as CAT Customers on the FDID Record.

In this example, the Industry Member itself is the Authorized Trader and the account holder has not specifically designated any natural person employees of the Industry Member as authorized to trade for the account independent of the authority granted to the entity authorized trader. Refer to FAQ Q56 for additional information. In this example, the Industry Member must be identified in a *role* of 'AUTHREP' and *hasDiscretion* must be 'true'. In addition, *customerType* must include 'BD'.

For contrast, see Scenario 4.2.3: Account with Specifically Designated Industry Member Employee Broker as Authorized Trader.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 5000,`
	`      "firmDesignatedID": "1A25978",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["RETIREMENT"],`
	`      "accountName": "Advised Retirement Acct",`
	`      "registeredRepCRD": ["99999"],`
	`      "branchOfficeCRD": 77777,`
	`      "fdidDate": 20210115,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "415 MAIN BOULEVARD",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60176"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 72,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20210115`
	`        },`
	`        {`
	`          "customerRecordID": 589,`
	`          "role": "AUTHREP",`
	`          "hasDiscretion": true,`
	`          "roleStartDate": 20210115`
	`        }`
	`      ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 72,`
	`      "firstName": "JOSEPH",`
	`      "middleName": "WALTER",`
	`      "lastName": "SMYTHE",`
	`      "nameSuffix": "THIRD",`
	`      "yearOfBirth": 1975,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "415 MAIN BOULEVARD",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60176"`
	`        }`

File	Data

	`        ]`
	`      }`
	`  ],`
	`  "legalEntityCustomerList": [`
	`      {`
	`          "customerRecordID": 589,`
	`          "legalName": "CAT Reporter Firm Inc.",`
	`          "ein": "00-7478488",`
	`          "customerType": ["BD", "ADVISER"],`
	`          "lei": "037RCP01MV6749XWQ3Z6",`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "1 WATERS ST",`
	`              "city": "JERSEY CITY",`
	`              "regionCode": "US-NJ",`
	`              "countryCode": "US",`
	`              "postalCode": "07097"`
	`            }`
	`          ]`
	`      }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`          "customerRecordID": 72,`
	`          "tidType": "SSN/ITIN",`
	`          "tidValue":`
	`"47471430482258447580bb291a2ba29c79483f09000f25fcccfdc3bead7f46e0"`
	`      },`
	`      {`
	`          "customerRecordID": 589,`
	`          "tidType": "EIN",`
	`          "tidValue":`
	`"c30ef117db387710cdd88ebca6887a7d2356ee40e0df29e04cc3ba6ae2facf92"`
	`      }`
	`  ]`
	`}`

4.2.3. Account with Specifically Designated Industry Member Employee Broker as Authorized Trader

This scenario illustrates the CAT reporting requirements when an employee of the Industry Member is an Authorized Trader who is not a holder of the Account but does have authority to place orders for the Account without prior approval of the account holder(s) and the account holder specifically designated the natural person employee as authorized to trade for the account independent of the authority granted to the entity authorized trader. See FAQ Q56 for more information.

In this example, the account holder specifically designated John Palmer, a natural person and employee of the Industry Member, as authorized to trade for the account independent of any authority that may be

granted to the Industry Member entity itself. The Industry Member must identify John Palmer as a CAT Customer in the *role* of 'AUTHREP' with a *customerType* of 'EMPLOYEE'.

Since the Industry Member itself is *not* an authorized trader on the account, the Industry Member is not a CAT Customer for this account. For contrast, see .

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 2000,`
	`      "firmDesignatedID": "1A0973",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "Acct12345",`
	`      "fdidDate": 20050926,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "415 MAIN BOULEVARD",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60176"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 40,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20050926`
	`        },`
	`        {`
	`          "customerRecordID": 41,`
	`          "role": "AUTHREP",`
	`          "hasDiscretion": true,`
	`          "roleStartDate": 20050926`
	`        }`
	`      ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 40,`
	`      "firstName": "Marie",`
	`      "lastName": "Miller",`
	`      "yearOfBirth": 1967,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "415 MAIN BOULEVARD",`

File	Data

	<pre> "addrLine2": "APT 100",
	          "city": "CHICAGO",
	          "regionCode": "US-IL",
	          "countryCode": "US",
	          "postalCode": "60176"
	        }
	      ]
	    },
	    {
	      "customerRecordID": 41,
	      "firstName": "John",
	      "lastName": "Palmer",
	      "yearofBirth": 1959,
	      "customerType": ["EMPLOYEE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 WATERS ST",
	          "city": "JERSEY CITY",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "07097"
	        }
	      ]
	    }
	  ]
	}</pre>

TIDs	<pre>{
	"tidRecordList": [
	    {
	      "customerRecordID": 40,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"6a36505e1b5bfb49dc7f2d3c978d83e03945e7bc8e82b9d6d5a2334d18a164b4"
	    },
	    {
	      "customerRecordID": 41,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"d1e57d9fdea716fbd204515d547f9c71216ee614c16838436dd25429c4b9a555"
	    }
	  ]
	}</pre>

4.2.4. DVP/RVP Account with a Clearing Number

This scenario illustrates a clearing firm's CAT reporting requirements when the account reported to CAIS is a DVP/RVP account, where the shares are being delivered from the clearing firm to the prime broker.

In this example, the clearing firm is reporting an *accountType* of 'DVP/RVP', so the *DVPCustodianID* attribute must be populated with the clearing number of the prime broker. Also in this example, there is one prime broker for the account, and the account is held in the name of the prime broker. The institutional client is an authorized trader on the account.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 123,
	      "firmDesignatedID": "1A1938",
	      "fdidType": "ACCOUNT",
	      "accountType": ["DVP/RVP"],
	      "accountName": "PB DVP RVP ACCT. FBO INSTIT. CLIENT",
	      "branchOfficeCRD": 123456,
	      "DVPCustodianID": ["9542"],
	      "clearingBrokerID": ["1028"],
	      "fdidDate": 20210115,
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 WATERS ST",
	          "city": "JERSEY CITY",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "07097"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "NTHOLDER",
	          "roleStartDate": 20210115
	        },
	        {
	          "customerRecordID": 55,
	          "role": "AUTH3RD",
	          "hasDiscretion": true,
	          "roleStartDate": 20210115
	        }
	      ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 1,
	      "legalName": "Prime Broker",
	      "ein": "00-8803921",
	      "customerType": ["BD"],</pre>

File	Data

	`      "lei": "WQ930027TVN471GRQ09",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "1 WATERS ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 55,`
	`      "legalName": "Institutional Customer",`
	`      "ein": "00-1762321",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "lei": "L49S8SWR48C4MFGH8ZH1",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "132 MAIN ST",`
	`          "city": "JERSEY CITY",`
	`          "regionCode": "US-NJ",`
	`          "countryCode": "US",`
	`          "postalCode": "07097"`
	`        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"e08c15f826ee2a9baacf4d390d495e77a21babd1ab964cc6f8271e9925267c61"`
	`    },`
	`    {`
	`      "customerRecordID": 55,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"d2afa960e7fb1bdd523a225f994bb8c1f9b31f4ac17f6271cdf9b3b016e7a6b6"`
	`    }`
	`]`
	`}`

4.2.5. DVP/RVP Account with Bank Depository ID

This scenario illustrates a clearing firm's CAT reporting requirements when the account reported to CAIS is a DVP/RVP account, where the shares are being delivered from the clearing firm to a bank custodian.

In this example, the clearing firm is reporting an *accountType* of 'DVP/RVP', so the *DVPCustodianID* attribute must be populated with the DTC number of the bank. The institutional client is the holder of the Account that also has authorization to trade on the Account.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 123,
	      "firmDesignatedID": "1A0491",
	      "fdidType": "ACCOUNT",
	      "accountType": ["DVP/RVP"],
	      "accountName": "BankDVPCustody",
	      "branchOfficeCRD": 654321,
	      "DVPCustodianID": ["3209"],
	      "clearingBrokerID": ["1022"],
	      "fdidDate": 20210115,
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 WATERS ST",
	          "city": "JERSEY CITY",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "07097"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 55,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20210115
	        }
	      ]
	    }
	],
	
	"legalEntityCustomerList": [
	    {
	      "customerRecordID": 55,
	      "legalName": "Big Hedge Fund",
	      "ein": "00-3187272",
	      "customerType": ["NOTAPPLICABLE"],
	      "lei": "L49S8SWR48C4MFGH8ZH1",
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "1 WATERS ST",
	          "city": "JERSEY CITY",
	          "regionCode": "US-NJ",
	          "countryCode": "US",
	          "postalCode": "07097"
	        }
	      ]
	    }</pre>

File	Data
	] }

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 55,
	      "tidType": "EIN",
	      "tidValue":
	"fbbf9e01933589e830d93613149976c587a6ceddbd10a28614cb1f4b83e1b84e"
	    }
	]
	}

4.2.6. UGMA/UTMA Custodied Account

This scenario illustrates the CAT reporting requirements for an UGMA/UTMA custody account with two CAT Customers- one who is the custodian, and another who is a minor and does not have authorization to trade.

In recognition of the variety of account structures, Customer roles and business practices, etc., the CAT CAIS system is flexible and can handle a number of reporting structures and business processes. The below illustrations do not depict all possible CAT CAIS reporting scenarios and is not intended to suggest that these are the only ways Industry Members can report UGMA/UTMA custody accounts to CAT CAIS. It is important to note that Industry Members must adhere to the reporting requirements as set forth in the CAT Reporting Customer and Account Information Technical Specifications for Industry Members-Full CAIS.

Illustrated below are two options for the account structure, and five options for reporting when the minor reaches the age of majority.

Account Structure - Option 1

In this example, the Industry Member establishes the account with the custodian as an account holder with authorization to trade on the account, and the minor as a holder of the account that does not have authorization to trade.

File	Data
Data	{ "fdidRecordList": [{ "fdidRecordID": 2000, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["UGMA/UTMA"], "accountName": "Custodied Account", "fdidDate": 20210115, "clearingBrokerID": ["1234"], "addressList": [

File	Data

```json
        {
          "addrType": "ADDRESS1",
          "addrLine1": "415 MAIN BOULEVARD",
          "city": "CHICAGO",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60176"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 40,
          "role": "TRDHOLDER",
          "roleStartDate": 20210115
        },
        {
          "customerRecordID": 10,
          "role": "NTHOLDER",
          "roleStartDate": 20210115
        }
      ]
    }
  ],
  "naturalPersonCustomerList": [
    {
      "customerRecordID": 40,
      "firstName": "JOSEPH",
      "middleName": "WALTER",
      "lastName": "SMYTHE",
      "nameSuffix": "SENIOR",
      "yearOfBirth": 1981,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "23 MAIN AVE",
          "city": "PALATINE",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60038"
        }
      ]
    },
    {
      "customerRecordID": 10,
      "firstName": "JOSEPH",
      "middleName": "WALTER",
      "lastName": "SMYTHE",
      "nameSuffix": "JUNIOR",
      "yearOfBirth": 2011,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "23 MAIN AVE",
```

File	Data

	`            "city": "PALATINE",`
	`            "regionCode": "US-IL",`
	`            "countryCode": "US",`
	`            "postalCode": "60038"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 40,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"a82f70c87b9c3371825ed68ee61c35cf856a9cce50a71676be3533963e5f8719"`
	`    },`
	`    {`
	`      "customerRecordID": 10,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"`
	`    }`
	`  ]`
	`}`

Account Structure – Option 2

In this example, the custodian is an authorized trader who is not a holder of the Account, and the minor is a holder of the account that does not have authorization to trade.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 2000,`
	`      "firmDesignatedID": "1A25978",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["UGMA/UTMA"],`
	`      "accountName": "Custodied Account",`
	`      "fdidDate": 20210115,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "415 MAIN BOULEVARD",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60176"`
	`        }`
	`      ],`

File	Data
| | ```json
        "fdidCustomerList": [
          {
            "customerRecordID": 40,
            "role": "AUTH3RD",
            "hasDiscretion": true,
            "roleStartDate": 20210115
          },
          {
            "customerRecordID": 10,
            "role": "NTHOLDER",
            "roleStartDate": 20210115
          }
        ]
      }
    ],
    "naturalPersonCustomerList": [
        {
          "customerRecordID": 40,
          "firstName": "JOSEPH",
          "middleName": "WALTER",
          "lastName": "SMYTHE",
          "nameSuffix": "SENIOR",
          "yearOfBirth": 1981,
          "customerType": ["NOTAPPLICABLE"],
          "addressList": [
            {
              "addrType": "ADDRESS1",
              "addrLine1": "23 MAIN AVE",
              "city": "PALATINE",
              "regionCode": "US-IL",
              "countryCode": "US",
              "postalCode": "60038"
            }
          ]
        },
        {
          "customerRecordID": 10,
          "firstName": "JOSEPH",
          "middleName": "WALTER",
          "lastName": "SMYTHE",
          "nameSuffix": "JUNIOR",
          "yearOfBirth": 2011,
          "customerType": ["NOTAPPLICABLE"],
          "addressList": [
            {
              "addrType": "ADDRESS1",
              "addrLine1": "23 MAIN AVE",
              "city": "PALATINE",
              "regionCode": "US-IL",
              "countryCode": "US",
              "postalCode": "60038"
            }
          ]
        }
    ]
``` |

File	Data
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 40,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"a82f70c87b9c3371825ed68ee61c35cf856a9cce50a71676be3533963e5f8719"`
	`    },`
	`    {`
	`      "customerRecordID": 10,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"`
	`    }`
	`]`
	`}`

Age of Majority - Option 1

In both Option 1 and Option 2, the Industry Member's policy is to close the UGMA/UTMA account and transfer the assets to a new brokerage account when a minor associated to an UGMA/UTMA account reaches the age of majority.

The minor has reached the age of majority and contacted the Industry Member.

In Option 1, the former minor is the account holder that also has authorization to trade on the new account and the former custodian is not a CAT Customer on the new account. The Industry Member ends the FDID when the UGMA/UTMA is closed and creates a new FDID based on the new account. In addition, the Industry Member implicitly ends the *roles* on the closed FDID by omitting them from the submission.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A25978",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["UGMA/UTMA"],`
	`      "accountName": "Custodied Account",`
	`      "fdidDate": 20210115,`
	`      "clearingBrokerID": ["1234"],`
	`      "fdidEndDate": 20220815,`
	`      "fdidEndReason": "ENDED",`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "415 MAIN BOULEVARD",`
	`          "city": "CHICAGO",`

File	Data
| | ```json
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60176"
        }
      ]
    },
    {
      "fdidRecordID": 2,
      "firmDesignatedID": "IA94913",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "New Account",
      "fdidDate": 20220815,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "415 MAIN BOULEVARD",
          "city": "CHICAGO",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60176"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 1,
          "role": "TRDHOLDER",
          "roleStartDate": 20220815
        }
      ]
    }
  ],
  "naturalPersonCustomerList": [
    {
      "customerRecordID": 1,
      "firstName": "JOSEPH",
      "middleName": "WALTER",
      "lastName": "SMYTHE",
      "nameSuffix": "JUNIOR",
      "yearOfBirth": 2011,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "23 MAIN AVE",
          "city": "PALATINE",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60038"
        }
      ]
    }
  ]
}
``` |

File	Data
| TIDs | ```json
{
"tidRecordList": [
      {
         "customerRecordID": 1,
         "tidType": "SSN/ITIN",
         "tidValue":
"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"
      }
]
}
``` |

Age of Majority – Option 2

In both Option 1 and Option 2, the Industry Member's policy is to close the UGMA/UTMA account and transfer the assets to a new brokerage account when a minor associated to an UGMA/UTMA account reaches the age of majority.

The minor has reached the age of majority and contacted the Industry Member.

In Option 2, the former minor is the account holder that also has authorization to trade on the new account and the former custodian is an authorized trader on the new account. The Industry Member ends the FDID when the UGMA/UTMA is closed and creates a new FDID based on the new account. In addition, the Industry Member implicitly ends the *roles* on the closed FDID by omitting them from the submission.

File	Data
| Data | ```json
{
"fdidRecordList": [
      {
         "fdidRecordID": 1,
         "firmDesignatedID": "1A25978",
         "fdidType": "ACCOUNT",
         "accountType": ["UGMA/UTMA"],
         "accountName": "Custodied Account",
         "fdidDate": 20210115,
         "clearingBrokerID": ["1234"],
         "fdidEndDate": 20220815,
         "fdidEndReason": "ENDED",
         "addressList": [
           {
              "addrType": "ADDRESS1",
              "addrLine1": "415 MAIN BOULEVARD",
              "city": "CHICAGO",
              "regionCode": "US-IL",
              "countryCode": "US",
              "postalCode": "60176"
           }
         ]
      },
      {
``` |

File	Data

	"fdidRecordID": 2,
	          "firmDesignatedID": "IA94913",
	          "fdidType": "ACCOUNT",
	          "accountType": ["OTHER"],
	          "accountName": "New Account",
	          "fdidDate": 20220815,
	          "clearingBrokerID": ["1234"],
	          "addressList": [
	            {
	              "addrType": "ADDRESS1",
	              "addrLine1": "415 MAIN BOULEVARD",
	              "city": "CHICAGO",
	              "regionCode": "US-IL",
	              "countryCode": "US",
	              "postalCode": "60176"
	            }
	          ],
	          "fdidCustomerList": [
	            {
	              "customerRecordID": 10,
	              "role": "TRDHOLDER",
	              "roleStartDate": 20220815
	            },
	            {
	              "customerRecordID": 40,
	              "role": "AUTH3RD",
	              "hasDiscretion": true,
	              "roleStartDate": 20220815
	            }
	          ]
	        }
	      ],
	      "naturalPersonCustomerList": [
	        {
	          "customerRecordID": 40,
	          "firstName": "JOSEPH",
	          "middleName": "WALTER",
	          "lastName": "SMYTHE",
	          "nameSuffix": "SENIOR",
	          "yearOfBirth": 1981,
	          "customerType": ["NOTAPPLICABLE"],
	          "addressList": [
	            {
	              "addrType": "ADDRESS1",
	              "addrLine1": "23 MAIN AVE",
	              "city": "PALATINE",
	              "regionCode": "US-IL",
	              "countryCode": "US",
	              "postalCode": "60038"
	            }
	          ]
	        },
	        {
	          "customerRecordID": 10,
	          "firstName": "JOSEPH",

File	Data

	`    "middleName": "WALTER",`
	`    "lastName": "SMYTHE",`
	`    "nameSuffix": "JUNIOR",`
	`    "yearOfBirth": 2011,`
	`    "customerType": ["NOTAPPLICABLE"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "23 MAIN AVE",`
	`        "city": "PALATINE",`
	`        "regionCode": "US-IL",`
	`        "countryCode": "US",`
	`        "postalCode": "60038"`
	`      }`
	`    ]`
	`  }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 40,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"`
	`    },`
	`    {`
	`      "customerRecordID": 10,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"57af67a635570b66ec7385cb6e9bd2c8b4ee311063f189c6a1bfb7c313e700b8"`
	`    }`
	`]`
	`}`

Age of Majority – Option 3 and Option 4

In Option 3 and Option 4, the Industry Member's business practice is to repurpose the same account when the minor reaches the age of majority. The Industry Member must update the *accountType* attribute from 'UGMA/UTMA' and populate this field with all applicable allowable values. Also in Option 3 and Option 4, the former custodian is no longer a CAT Customer associated to this FDID.

Option 3- Explicitly Ending One Customer's *role* and Implicitly Ending the Other Customer's *role*

In Option 3, the Industry Member explicitly ends the former custodian's *role* by setting a *roleEndDate* and *roleEndReason*. The Industry Member also creates a new *role* for the former minor of 'TRDHOLDER'. Omitting the former minor's previous *role* of 'NTHOLDER' implicitly ends the previous *role* in CAIS.

File	Data
Data	{

File	Data
| | ```json
"fdidRecordList": [
    {
      "fdidRecordID": 2000,
      "firmDesignatedID": "1A25978",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "New Account",
      "fdidDate": 20210115,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "415 MAIN BOULEVARD",
          "city": "CHICAGO",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60176"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 40,
          "role": "TRDHOLDER",
          "roleStartDate": 20210115,
          "roleEndDate": 20210815,
          "roleEndReason": "ENDED"
        },
        {
          "customerRecordID": 10,
          "role": "TRDHOLDER",
          "roleStartDate": 20210815
        }
      ]
    }
],
"naturalPersonCustomerList": [
    {
      "customerRecordID": 40,
      "firstName": "JOSEPH",
      "middleName": "WALTER",
      "lastName": "SMYTHE",
      "nameSuffix": "SENIOR",
      "yearOfBirth": 1981,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "23 MAIN AVE",
          "city": "PALATINE",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60038"
        }
      ]
    },
``` |

File	Data

	{
	    "customerRecordID": 10,
	    "firstName": "JOSEPH",
	    "middleName": "WALTER",
	    "lastName": "SMYTHE",
	    "nameSuffix": "JUNIOR",
	    "yearOfBirth": 2011,
	    "customerType": ["NOTAPPLICABLE"],
	    "addressList": [
	      {
	        "addrType": "ADDRESS1",
	        "addrLine1": "23 MAIN AVE",
	        "city": "PALATINE",
	        "regionCode": "US-IL",
	        "countryCode": "US",
	        "postalCode": "60038"
	      }
	    ]
	  }
	]
	}

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 40,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"a82f70c87b9c3371825ed68ee61c35cf856a9cce50a71676be3533963e5f8719"
	    },
	    {
	      "customerRecordID": 10,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"
	    }
	]
	}

Age of Majority – Option 4

In Option 3 and Option 4, the Industry Member's business practice is to repurpose the same account when the minor reaches the age of majority. The Industry Member must update the *accountType* attribute from 'UGMA/UTMA' and populate this field with all applicable allowable values. Also in Option 3 and Option 4, the former custodian is no longer a CAT Customer associated to this FDID.

Option 4- Implicitly Ending Both Customer's *role*s

In Option 4, the Industry Member implicitly ends the former custodian's *role* by omitting it from the updating submission. The Industry Member also creates a new *role* for the former minor of

'TRDHOLDER'. Omitting the former minor's previous *role* of 'NTHOLDER' implicitly ends the previous *role* in CAIS.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 2000,`
	`        "firmDesignatedID": "1A25978",`
	`        "fdidType": "ACCOUNT",`
	`        "accountType": ["OTHER"],`
	`        "accountName": "New Account",`
	`        "fdidDate": 20210115,`
	`        "clearingBrokerID": ["1234"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "415 MAIN BOULEVARD",`
	`            "addrLine2": "",`
	`            "city": "CHICAGO",`
	`            "regionCode": "US-IL",`
	`            "countryCode": "US",`
	`            "postalCode": "60176"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 10,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20210815`
	`          }`
	`        ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`        "customerRecordID": 10,`
	`        "firstName": "JOSEPH",`
	`        "middleName": "WALTER",`
	`        "lastName": "SMYTHE",`
	`        "nameSuffix": "JUNIOR",`
	`        "yearOfBirth": 2011,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "23 MAIN AVE",`
	`            "city": "PALATINE",`
	`            "regionCode": "US-IL",`
	`            "countryCode": "US",`
	`            "postalCode": "60038"`
	`          }`
	`        ]`

File	Data
| | ```
        }
    ]
}
``` |
| TIDs | ```
{
"tidRecordList": [
    {
        "customerRecordID": 10,
        "tidType": "SSN/ITIN",
        "tidValue":
"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"
    }
]
}
``` |

Age of Majority – Option 5

In Option 5, the Industry Member's business practice is to repurpose the same account when the minor reaches the age of majority. The Industry Member must update the *accountType* attribute from 'UGMA/UTMA' and populate this field with all applicable allowable values.

In Option 5, the Industry Member explicitly ends the former minor's previous *role* by setting a *roleEndDate* and *roleEndReason* and creates a new *role* for the former minor of 'TRDHOLDER'. Also in Option 5, the Industry Member implicitly ends the former's custodian's role by omitting it from the submission.

File	Data
| Data | ```
{
"fdidRecordList": [
    {
        "fdidRecordID": 2000,
        "firmDesignatedID": "1A25978",
        "fdidType": "ACCOUNT",
        "accountType": ["OTHER"],
        "accountName": "New Account",
        "fdidDate": 20210115,
        "clearingBrokerID": ["1234"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "415 MAIN BOULEVARD",
            "city": "CHICAGO",
            "regionCode": "US-IL",
            "countryCode": "US",
            "postalCode": "60176"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 10,
            "role": "NTHOLDER",
            "roleStartDate": 20210115,
            "roleEndDate": 20210815,
``` |

File	Data

"roleEndReason": "ENDED"
    },
    {
      "customerRecordID": 11,
      "role": "TRDHOLDER",
      "roleStartDate": 20210815
    }
  ]
}
],
"naturalPersonCustomerList": [
    {
      "customerRecordID": 10,
      "firstName": "JOSEPH",
      "middleName": "WALTER",
      "lastName": SMYTHE,
      "nameSuffix": "JUNIOR",
      "yearOfBirth": 2011,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "23 MAIN AVE",
          "city": "PALATINE",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60038"
        }
      ]
    },
    {
      "customerRecordID": 11,
      "firstName": "JOSEPH",
      "middleName": "WALTER",
      "lastName": "SMYTHE",
      "nameSuffix": "JUNIOR",
      "yearOfBirth": 2011,
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "23 MAIN AVE",
          "city": "PALATINE",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60038"
        }
      ]
    }
]
}

TIDs	{ "tidRecordList": [{ "customerRecordID": 10,

File	Data
| | ```
      "tidType": "SSN/ITIN",
      "tidValue":
"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"
    },
    {
      "customerRecordID": 11,
      "tidType": "SSN/ITIN",
      "tidValue":
"18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44"
    }
  ]
}
``` |

4.2.7. Adding Holders or Authorized Traders to an Account

This scenario illustrates the CAT reporting requirements for adding another CAT Customer to an FDID. Depending on the Industry Member's business practices, it can either add additional holders or authorized traders to the same account, or the firm can close the account and open a new account.

Option 1 – Adding a New CAT Customer to the Same Account

In Option 1, the FDID Record was previously accepted by CAT CAIS with a single Customer Record. The Industry Member must submit an FDID Record with all the same information that was previously accepted by CAT CAIS, and include the second Customer Record. In addition, the TIDs file now includes the TID information for the newly added Customer.

Updating Submission

File	Data
| Data | ```
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "1A7759",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "CustAcct456",
      "fdidDate": 20190615,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "150 SW ORANGE ST",
          "city": "BROOKLYN",
          "regionCode": "US-NY",
          "countryCode": "US",
          "postalCode": "11201"
        }
      ],
      "fdidCustomerList": [
        {
``` |

File	Data

	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20190615`
	`        },`
	`        {`
	`          "customerRecordID": 2,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20220815`
	`        }`
	`      ]`
	`    }`
	`  ],`
	`  "naturalPersonCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "firstName": "John",`
	`        "lastName": "Doe",`
	`        "yearOfBirth": 1982,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "150 SW ORANGE ST",`
	`            "city": "BROOKLYN",`
	`            "regionCode": "US-NY",`
	`            "countryCode": "US",`
	`            "postalCode": "11201"  }`
	`        ]`
	`      },`
	`      {`
	`        "customerRecordID": 2,`
	`        "firstName": "Jane",`
	`        "lastName": "Doe",`
	`        "yearOfBirth": 1989,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "150 SW ORANGE ST",`
	`            "city": "BROOKLYN",`
	`            "regionCode": "US-NY",`
	`            "countryCode": "US",`
	`            "postalCode": "11201"  }`
	`        ]`
	`      }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"56c4d1ee2fa66991602dc80580116d195ca362d7a0b5647fea17f3e104c97944"`
	`    },`

File	Data
	<pre>{
"customerRecordID": 2,
"tidType": "SSN/ITIN",
"tidValue":
"76d983df81f129e1d917709aead1cfe9f7be02057d053d2187b12961b55d0f8c"
}
]
}</pre>

Option 2 – Ending an Individual Account and Opening a New Joint Account

In Option 2, the Industry Member has closed an individual account and opened a new account with two account holders.

In Option 2, the Industry Member reports the updated status of the closed individual account and the newly opened account within the same submission file. The Industry Member must include an *fdidEndDate* and *fdidEndReason* of 'ENDED' for the closed account. In addition, the Industry Member implicitly ends the *role* on the closed FDID by omitting it from the submission.

Submission Includes an Update to an FDID Record and an Original Submission of an FDID Record

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A7759",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "IndAcct456",
"fdidDate": 20190615,
"clearingBrokerID": ["1234"],
"fdidEndDate": 20220815,
"fdidEndReason": "ENDED",
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "150 SW ORANGE ST",
"city": "BROOKLYN",
"regionCode": "US-NY",
"countryCode": "US",
"postalCode": "11201"
}
]
},
{
"fdidRecordID": 2,
"firmDesignatedID": "1A7760",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "JntAcct456",</pre>

File	Data

	`          "fdidDate": 20220815,`
	`          "clearingBrokerID": ["1234"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "150 SW ORANGE ST",`
	`              "city": "BROOKLYN",`
	`              "regionCode": "US-NY",`
	`              "countryCode": "US",`
	`              "postalCode": "11201"`
	`            }`
	`          ],`
	`          "fdidCustomerList": [`
	`            {`
	`              "customerRecordID": 1,`
	`              "role": "TRDHOLDER",`
	`              "roleStartDate": 20220815`
	`            },`
	`            {`
	`              "customerRecordID": 2,`
	`              "role": "TRDHOLDER",`
	`              "roleStartDate": 20220815`
	`            }`
	`          ]`
	`        }`
	`      ],`
	`      "naturalPersonCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "firstName": "John",`
	`          "lastName": "Doe",`
	`          "yearOfBirth": 1982,`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "150 SW ORANGE ST",`
	`              "city": "BROOKLYN",`
	`              "regionCode": "US-NY",`
	`              "countryCode": "US",`
	`              "postalCode": "11201"  }`
	`          ]`
	`        },`
	`        {`
	`          "customerRecordID": 2,`
	`          "firstName": "Jane",`
	`          "lastName": "Doe",`
	`          "yearOfBirth": 1989,`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "150 SW ORANGE ST",`
	`              "city": "BROOKLYN",`
	`              "regionCode": "US-NY",`

File	Data
	<pre> "countryCode": "US",
"postalCode": "11201"
}
]
}
]
}</pre>
TIDs	<pre>{
"tidRecordList": [
{
"customerRecordID": 1,
"tidType": "SSN/ITIN",
"tidValue":
"56c4d1ee2fa66991602dc80580116d195ca362d7a0b5647fea17f3e104c97944"
},
{
"customerRecordID": 2,
"tidType": "SSN/ITIN",
"tidValue":
"76d983df81f129e1d917709aead1cfe9f7be02057d053d2187b12961b55d0f8c"
}
]
}</pre>

4.2.8. Updating from Authorized Trader Names List to Complete Customer Records

This scenario illustrates the CAT reporting requirements when an Industry Member originally reported the FDID Record with an Authorized Trader Names List. The Industry Member subsequently collected and systematized all data required to report a complete Customer Record, including *firstName*, *lastName*, *yearOfBirth*, *tidType*, and *tidValue* so it must update the FDID Record and include all associated CAT Customers.

For this example, the Industry Member previously reported the account to CAIS as illustrated in Scenario 2.1.9 Reporting of Authorized Trader Names List. After collecting and systematizing all data required to report complete Customer Records, the Industry Member makes an updating submission and omits the *authTraderNamesList* but includes the three Customer Records.

Updating Submission

| Data | <pre>{
"fdidRecordList": [
    {
       "fdidRecordID": 1,
       "firmDesignatedID": "1A0094",
       "fdidType": "ACCOUNT",
       "accountType": ["OTHER"],
       "accountName": "IA0094 ACCT",
       "fdidDate": 20100917,
       "clearingBrokerID": ["1234"],</pre> |

```
            "addressList": [
              {
                "addrType": "ADDRESS1",
                "addrLine1": "10 ELM STREET",
                "city": "RICHMOND",
                "regionCode": "US-NC",
                "countryCode": "US",
                "postalCode": "28379"
              }
            ],
            "fdidCustomerList": [
              {
                "customerRecordID": 1,
                "role": "TRDHOLDER",
                "roleStartDate": 20100917
                 }
              ],
      "naturalPersonCustomerList": [
          {
            "customerRecordID": 1,
            "firstName": "DANIEL",
            "lastName": "NGUYEN",
            "yearofBirth": 1967,
            "customerType": ["AUTH3RD"],
            "addressList": [
              {
                "addrType": "ADDRESS1",
                "addrLine1": "415 MAIN BOULEVARD",
                "city": "CHICAGO",
                "regionCode": "US-IL",
                "countryCode": "US",
                "postalCode": "60176"
              }
            ]
          },
          {
            "customerRecordID": 2,
            "firstName": "REYNA",
            "lastName": "CHAVEZ",
            "yearOfBirth": 1959,
            "customerType": ["AUTH3RD"],
            "addressList": [
              {
                "addrType": "ADDRESS1",
                "addrLine1": "999 NORTH 5TH ST",
                "city": "CHICAGO",
                "regionCode": "US-IL",
                "countryCode": "US",
                "postalCode": "60008"
              }
          },
          {
            "customerRecordID": 3,
            "firstName": "KABIITE",
            "lastName": "KYOMUHANGI",
            "yearOfBirth": 1959,
            "customerType": ["AUTH3RD"],
```

	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 MAIN STREET",`
	`          "city": "CHICAGO",`
	`          "regionCode": "US-IL",`
	`          "countryCode": "US",`
	`          "postalCode": "60008"`
	`        },`
	`        {`
	`"legalEntityCustomerList": [`
	`      {`
	`        "customerRecordID": 4,`
	`        "legalName": "XYZ Investors Club",`
	`        "ein": "00-9948371",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 ELM STREET",`
	`          "city": "RICHMOND",`
	`          "regionCode": "US-NC",`
	`          "countryCode": "US",`
	`          "postalCode": "28379"`
	`          }`
	`        ]`
	`      }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"c68a96c6f6f640bb9b51bf406695d5668b1fe675f1c63cdc9d5257fb92e9b503"`
	`      },`
	`      {`
	`        "customerRecordID": 2,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue": "`
	`a68a96c6f6f640bb9b51bf406695d5668b1fe675f1c63cdc9d5257fb92e9b700"`
	`      },`
	`      {`
	`        "customerRecordID": 3,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue": "`
	`7db347e0258d221252ca1f9e5e5913865f2c14f47b15ddefd0870edab89937e7"`
	`      },`
	`      {`
	`        "customerRecordID": 4,`
	`        "tidType": "EIN",`
	`        "tidValue":`
	`"ac822c60e44cdefd0387a29fc76a1c7cefa61840245d38bd9fe5feb770f1ea46"`
	`      }`
	`]`
	`}`

4.3. Nullifying FDID and Customer Record Attributes

This section illustrates the CAT reporting requirements when an Industry Member has previously submitted an FDID or Customer Record to CAIS, but later needs to nullify one or more attributes of the FDID or Customer Record. Since each FDID submission to CAIS requires full FDID data, including LTID and Customer associations, omitting a Conditional or Optional attribute will nullify the attribute in the CAIS database. Additionally, including the attribute but populating it with 'null' will nullify the attribute in the CAIS database.

4.3.1. Nullifying Attributes via Omission

This scenario illustrates the CAT reporting requirements when an Industry Member has previously submitted FDID and Customer Records with the *fdidEndDate, fdidEndReason, roleEndDate,* and *roleEndReason* attributes populated. The Industry Member determines the FDID was ended in error, and should remain open in CAIS.

In this example, the Industry Member resubmits the FDID and Customer Records with the *fdidEndDate, fdidEndReason, roleEndDate*, and *roleEndReason* fields omitted which will clear out the end dates and end reasons.

Ending Submission with End Dates and End Reasons Populated

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 2000,
	      "firmDesignatedID": "1A3382",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "Acct1",
	      "fdidDate": 20160502,
	      "clearingBrokerID": ["1234"],
	      "fdidEndDate": 20220712,
	      "fdidEndReason": "ENDED",
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "415 MAIN BOULEVARD",
	          "city": "CHICAGO",
	          "regionCode": "US-IL",
	          "countryCode": "US",
	          "postalCode": "60176"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 40,</pre>

File	Data

	"role": "TRDHOLDER",
	          "roleStartDate": 20160502,
	          "roleEndDate": 20220712,
	          "roleEndReason": "ENDED"
	        }
	      ]
	    }
	  ],
	  "naturalPersonCustomerList": [
	    {
	      "customerRecordID": 40,
	      "firstName": "Marie",
	      "lastName": "Miller",
	      "yearofBirth": 1967,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "415 MAIN BOULEVARD",
	          "city": "CHICAGO",
	          "regionCode": "US-IL",
	          "countryCode": "US",
	          "postalCode": "60176"
	        }
	      ]
	    }
	  ]
	}

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 40,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"5c9be19543351f345072b444db12964309366da9c5fc4a8348745da590477677"
	    }
	  ]
	}

Nullifying Submission (Omitting End Dates and End Reasons)

File	Data
Data	{ "fdidRecordList": [{ "fdidRecordID": 2000, "firmDesignatedID": "1A3382", "fdidType": "ACCOUNT", "accountType": ["OTHER"], "accountName": "Acct1", "fdidDate": 20160502, "clearingBrokerID": ["1234"], "addressList": [

File	Data

	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "415 MAIN BOULEVARD",`
	`              "city": "CHICAGO",`
	`              "regionCode": "US-IL",`
	`              "countryCode": "US",`
	`              "postalCode": "60176"`
	`            }`
	`          ],`
	`          "fdidCustomerList": [`
	`           {`
	`              "customerRecordID": 40,`
	`              "role": "TRDHOLDER",`
	`              "roleStartDate": 20160502`
	`           }`
	`          ]`
	`        }`
	`     ],`
	`    "naturalPersonCustomerList": [`
	`        {`
	`          "customerRecordID": 40,`
	`          "firstName": "Marie",`
	`          "lastName": "Miller",`
	`          "yearofBirth": 1967,`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`           {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "415 MAIN BOULEVARD",`
	`              "city": "CHICAGO",`
	`              "regionCode": "US-IL",`
	`              "countryCode": "US",`
	`              "postalCode": "60176"`
	`           }`
	`          ]`
	`        }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 40,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"5c9be19543351f345072b444db12964309366da9c5fc4a8348745da590477677"`
	`    }`
	`  ]`
	`}`

4.3.2. Nullifying Attributes Using 'null' Value

This scenario illustrates the CAT reporting requirements when an Industry Member has previously

submitted FDID and Customer Records with the *fdidEndDate, fdidEndReason, roleEndDate,* and

roleEndReason attributes populated. The Industry Member determines the FDID was ended in error, and should remain open in CAIS.

In this example, the Industry Member resubmits the FDID and Customer Records with the *fdidEndDate, fdidEndReason, roleEndDate*, and *roleEndReason* attributes having a value of 'null' which will clear out the end dates and end reasons. The Industry Member must only populate the *fdidEndDate, fdidEndReason, roleEndDate,* and *roleEndReason* with a lowercase value of 'null' (without quotes). Including a value of 'NULL' (uppercase without quotes) will result in a file integrity error as 'NULL' is invalid JSON.

Ending Submission with End Dates and End Reasons Populated

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 2000,
"firmDesignatedID": "1A3382",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "Acct1",
"fdidDate": 20160502,
"registeredRepCRD": ["999999"],
"clearingBrokerID": ["1234"],
"fdidEndDate": 20220712,
"fdidEndReason": "ENDED",
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "415 MAIN BOULEVARD",
"city": "CHICAGO",
"regionCode": "US-IL",
"countryCode": "US",
"postalCode": "60176"
}
],
"fdidCustomerList": [
{
"customerRecordID": 40,
"role": "TRDHOLDER",
"roleStartDate": 20160502,
"roleEndDate": 20220712,
"roleEndReason": "ENDED"
}
]
}
],
"naturalPersonCustomerList": [
{
"customerRecordID": 40,
"firstName": "Marie",
"lastName": "Miller",
"yearofBirth": 1967,</pre>

File	Data
| | ```
      "customerType": ["NOTAPPLICABLE"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "415 MAIN BOULEVARD",
          "city": "CHICAGO",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60176"
        }
      ]
    }
  ]
}
``` |
| TIDs | ```
{
"tidRecordList": [
    {
      "customerRecordID": 40,
      "tidType": "SSN/ITIN",
      "tidValue":
"5c9be19543351f345072b444db12964309366da9c5fc4a8348745da590477677"
    }
  ]
}
``` |

Nullifying Submission (with 'null' Values)

File	Data
| Data | ```
{
"fdidRecordList": [
    {
      "fdidRecordID": 2000,
      "firmDesignatedID": "1A3382",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "Acct1",
      "fdidDate": 20160502,
      "registeredRepCRD": ["999999"],
      "clearingBrokerID": ["1234"],
      "fdidEndDate": null,
      "fdidEndReason": null,
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "415 MAIN BOULEVARD",
          "city": "CHICAGO",
          "regionCode": "US-IL",
          "countryCode": "US",
          "postalCode": "60176"
        }
      ],
      "fdidCustomerList": [
        {
``` |

File	Data

	`            "customerRecordID": 40,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20160502,`
	`            "roleEndDate": null,`
	`            "roleEndReason": null`
	`          }`
	`        ]`
	`      }`
	`    ],`
	`    "naturalPersonCustomerList": [`
	`        {`
	`          "customerRecordID": 40,`
	`          "firstName": "Marie",`
	`          "lastName": "Miller",`
	`          "yearofBirth": 1967,`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`            {`
	`              "addrType": "ADDRESS1",`
	`              "addrLine1": "415 MAIN BOULEVARD",`
	`              "city": "CHICAGO",`
	`              "regionCode": "US-IL",`
	`              "countryCode": "US",`
	`              "postalCode": "60176"`
	`            }`
	`          ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`        "customerRecordID": 40,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"5c9be19543351f345072b444db12964309366da9c5fc4a8348745da590477677"`
	`     }`
	`]`
	`}`

5.   Customer Data Inconsistency Scenarios

Resolving a Material Inconsistency requires that an Industry Member follow the procedure as set forth in the CAT Reporting Customer and Account Technical Specifications for Industry Members-Full CAIS to confirm or update the record that generated the Material Inconsistency. Resolving a Material Inconsistency does not require the Industry Member to contact the Customer to confirm the Customer's information. See FAQ Q55 for more information. For more information on Material Inconsistencies, including repair deadlines, see the CAT Reporting Customer and Account Technical Specifications for Industry Members-Full CAIS.

5.1.   Material Update to Previously Submitted Customer Data

This scenario illustrates the CAT reporting requirements when an Industry Member is proactively updating a material attribute, such as *yearOfBirth*, for a Customer Record that it previously submitted to CAIS. In order to avoid generating an intra-firm Material Inconsistency against Customer data that it previously submitted, the Industry Member must populate the *updateNotification* field with 'true'. If the *updateNotification* is omitted or set to 'false', an intra-firm Material Inconsistency will be created that must be resolved.

In this example, the Industry Member must update the *yearOfBirth* for the Customer on the FDID Record. The *updateNotification* field is populated with 'true' to indicate that the Customer Record is being reported with known updates to a material attribute. If the *updateNotification* field is populated as 'true', changes to the material attributes will not result in an intra-firm Material Inconsistency.

Original Submission with Incorrect *yearOfBirth*

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	        "fdidRecordID": 1,
	        "firmDesignatedID": "1A0045",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "Customer Acct",
	        "fdidDate": 20150628,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "150 SW ORANGE ST",
	            "city": "BROOKLYN",
	            "regionCode": "US-NY",
	            "countryCode": "US",
	            "postalCode": "11201"
	          }
	        ],
	        "fdidCustomerList": [</pre>

File	Data

	`              {`
	`                  "customerRecordID": 1,`
	`                  "role": "TRDHOLDER",`
	`                  "roleStartDate": 20150628`
	`              }`
	`          ]`
	`      }`
	`  ],`
	`  "naturalPersonCustomerList": [`
	`      {`
	`          "customerRecordID": 1,`
	`          "firstName": "Sally",`
	`          "lastName": "Miller",`
	`          "yearOfBirth": 1965,`
	`          "customerType": ["NOTAPPLICABLE"],`
	`          "addressList": [`
	`              {`
	`                  "addrType": "ADDRESS1",`
	`                  "addrLine1": "150 SW ORANGE ST",`
	`                  "city": "BROOKLYN",`
	`                  "regionCode": "US-NY",`
	`                  "countryCode": "US",`
	`                  "postalCode": "11201"`
	`              }`
	`          ]`
	`      }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`          "customerRecordID": 1,`
	`          "tidType": "SSN/ITIN",`
	`          "tidValue":`
	`"43f09db91020752d4249b9e4c00d70dad54af27a254128aa78e5ab5f5f30ea26"`
	`      }`
	`  ]`
	`}`

Updating Submission

After the original submission, the Industry Member discovers that it reported an incorrect *yearOfBirth* for Sally Miller. The Industry Member updates Sally Miller's *yearOfBirth* to '1975' and includes *updateNotification* populated with 'true'.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`      {`
	`          "fdidRecordID": 1,`
	`          "firmDesignatedID": "1A0045",`
	`          "fdidType": "ACCOUNT",`

File	Data

	`    "accountType": ["OTHER"],`
	`    "accountName": "Customer Acct",`
	`    "fdidDate": 20150628,`
	`    "clearingBrokerID": ["1234"],`
	`    "addressList": [`
	`      {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "150 SW ORANGE ST",`
	`        "city": "BROOKLYN",`
	`        "regionCode": "US-NY",`
	`        "countryCode": "US",`
	`        "postalCode": "11201"`
	`      }`
	`    ],`
	`    "fdidCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20150628`
	`      }`
	`    ]`
	`  }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "Sally",`
	`      "lastName": "Miller",`
	`      "yearOfBirth": 1975,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "updateNotification": true,`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "150 SW ORANGE ST",`
	`          "city": "BROOKLYN",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "11201"`
	`        }`
	`      ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"43f09db91020752d4249b9e4c00d70dad54af27a254128aa78e5ab5f5f30ea26"`
	`    }`
	`]`
	`}`

5.2. Resolving an Intra-Firm Material Inconsistency

This scenario illustrates the CAT reporting requirements for resolving a Material Inconsistency which an Industry Member has triggered against its own data.

In this example, the Industry Member submits an FDID with two associated Customers to CAIS. In a subsequent submission, the same Industry Member submits one of those Customers with a different *yearOfBirth* than previously submitted. The Customer Record in the subsequent submission passed data validation checks and was accepted into CAIS, but the Industry Member received an Inconsistency Code of 30002 (Inconsistent data for *yearOfBirth* within the Industry Member). In the resolving submission, the Industry Member must update the *yearOfBirth* on the Customer Record and include the *updateNotification* field populated with 'true' for that Customer Record in order to resolve the Material Inconsistency.

Original Submission with Correct Year of Birth

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A1422",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "CustAcct1",
"fdidDate": 20090312,
"clearingBrokerID": ["1234"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "150 SW ORANGE ST",
"city": "BROOKLYN",
"regionCode": "US-NY",
"countryCode": "US",
"postalCode": "11201"
}
]
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20090312
},
{
"customerRecordID": 2,
"role": "TRDHOLDER",
"roleStartDate": 20090415
}
]</pre>

File	Data

	`                    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "John",`
	`      "lastName": "Doe",`
	`      "yearOfBirth": 1982,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "150 SW ORANGE ST",`
	`          "city": "BROOKLYN",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "11201"`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "firstName": "Marie",`
	`      "lastName": "Doe",`
	`      "yearOfBirth": 1979,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "150 SW ORANGE ST",`
	`          "city": "BROOKLYN",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "11201"`
	`        }`
	`      ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"52f544a8c2c594d8852b84a33ac8fe9f861579d2e7dd2c31584e9098925c4065"`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"6935ff6de288fc7db127c50fca29af514b5df2ed67ebcd935490a7b74f8f76e3"`
	`    }`
	`]`
	`}`

Second Submission (Generates an Intra-Firm Material Inconsistency)

In this submission, the Industry Member erroneously changes John Doe's *yearOfBirth* from 1982 to 1928. A Material Inconsistency is created from this submission because the *yearOfBirth* differs materially from the same attribute previously reported by the Industry Member for the same Customer.

File	Data
Data	<pre>{
"fdidRecordList": [
{
"fdidRecordID": 1,
"firmDesignatedID": "1A1422",
"fdidType": "ACCOUNT",
"accountType": ["OTHER"],
"accountName": "CustAcct1",
"fdidDate": 20090312,
"clearingBrokerID": ["1234"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "150 SW ORANGE ST",
"city": "BROOKLYN",
"regionCode": "US-NY",
"countryCode": "US",
"postalCode": "11201"
}
]
}
],
"fdidCustomerList": [
{
"customerRecordID": 1,
"role": "TRDHOLDER",
"roleStartDate": 20090312
},
{
"customerRecordID": 2,
"role": "TRDHOLDER",
"roleStartDate": 20090415
}
]
}
],
"naturalPersonCustomerList": [
{
"customerRecordID": 1,
"firstName": "John",
"lastName": "Doe",
"yearOfBirth": 1928,
"customerType": ["NOTAPPLICABLE"],
"addressList": [
{
"addrType": "ADDRESS1",
"addrLine1": "150 SW ORANGE ST",
"city": "BROOKLYN",</pre>

File	Data

	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "11201"`
	`        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "firstName": "Marie",`
	`      "lastName": "Doe",`
	`      "yearOfBirth": 1979,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "150 SW ORANGE ST",`
	`          "city": "BROOKLYN",`
	`          "regionCode": "US-NY",`
	`          "countryCode": "US",`
	`          "postalCode": "11201"`
	`        }`
	`      ]`
	`    }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"52f544a8c2c594d8852b84a33ac8fe9f861579d2e7dd2c31584e9098925c4065"`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "tidType": "SSN/ITIN",`
	`      "tidValue":`
	`"6935ff6de288fc7db127c50fca29af514b5df2ed67ebcd935490a7b74f8f76e3"`
	`    }`
	`]`
	`}`

Resolving Submission

In this submission, the Industry Member reverts the erroneous *yearOfBirth* value back to its correct value of '1982'. The Industry Member must include *updateNotification* populated with 'true' for this Customer in order to resolve the Material Inconsistency.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`

File	Data
| | ```json
      "fdidRecordID": 1,
      "firmDesignatedID": "1A1422",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "CustAcct1",
      "fdidDate": 20090312,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "150 SW ORANGE ST",
          "city": "BROOKLYN",
          "regionCode": "US-NY",
          "countryCode": "US",
          "postalCode": "11201"
        }
      ],
      "fdidCustomerList": [
        {
          "customerRecordID": 1,
          "role": "TRDHOLDER",
          "roleStartDate": 20090312
        },
        {
          "customerRecordID": 2,
          "role": "TRDHOLDER",
          "roleStartDate": 20090415
        }
      ]
    }
  ],
  "naturalPersonCustomerList": [
    {
      "customerRecordID": 1,
      "firstName": "John",
      "lastName": "Doe",
      "yearOfBirth": 1982,
      "customerType": ["NOTAPPLICABLE"],
      "updateNotification": true,
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "150 SW ORANGE ST",
          "city": "BROOKLYN",
          "regionCode": "US-NY",
          "countryCode": "US",
          "postalCode": "11201"
      }
    ]
    },
    {
      "customerRecordID": 2,
      "firstName": "Marie",
      "lastName": "Doe",
      "yearOfBirth": 1979,
``` |

File	Data

	"customerType": ["NOTAPPLICABLE"],
	    "addressList": [
	      {
	        "addrType": "ADDRESS1",
	        "addrLine1": "150 SW ORANGE ST",
	        "city": "BROOKLYN",
	        "regionCode": "US-NY",
	        "countryCode": "US",
	        "postalCode": "11201"
	      }
	    ]
	  }
	]
	}

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"52f544a8c2c594d8852b84a33ac8fe9f861579d2e7dd2c31584e9098925c4065"
	    },
	    {
	      "customerRecordID": 2,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"6935ff6de288fc7db127c50fca29af514b5df2ed67ebcd935490a7b74f8f76e3"
	    }
	]
	}

5.3. Resolving an Inter-Firm Material Inconsistency

This scenario illustrates the CAT reporting requirements when two different Industry Members have inconsistent data for the same Customer, generating an inter-firm Material Inconsistency.

Submission by Industry Member 1

In this example, Industry Member 1 submits an FDID Record with two associated Customers, Marie Doe and Bob Doe. Industry Member 1 submitted a Customer Record for Marie Doe with a *yearOfBirth* of '1979'.

File	Data
Data	{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "ABC89592", "fdidType": ACCOUNT, "accountType": ["OTHER"], "accountName": "BKRGACCT123",

File	Data

```
        "fdidDate": 20050219,
        "clearingBrokerID": ["1234"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "150 SW ORANGE ST",
            "city": "BROOKLYN",
            "regionCode": "US-NY",
            "countryCode": "US",
            "postalCode": "11201"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 1,
            "role": "TRDHOLDER",
            "roleStartDate": 20050219
          },
          {
            "customerRecordID": 2,
            "role": "TRDHOLDER",
            "roleStartDate": 20050219
          }
        ]
      }
    ],
    "naturalPersonCustomerList": [
      {
        "customerRecordID": 1,
        "firstName": "Marie",
        "lastName": "Doe",
        "yearOfBirth": 1979,
        "customerType": ["NOTAPPLICABLE"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "150 SW ORANGE ST",
            "city": "BROOKLYN",
            "regionCode": "US-NY",
            "countryCode": "US",
            "postalCode": "11201"
          }
        ]
      },
      {
        "customerRecordID": 2,
        "firstName": "Bob",
        "lastName": "Doe",
        "yearOfBirth": 1975,
        "customerType": ["NOTAPPLICABLE"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "150 SW ORANGE ST",
            "city": "BROOKLYN",
```

File	Data
	<pre> "regionCode": "US-NY", "countryCode": "US", "postalCode": "11201" }] }] }</pre>

TIDs	<pre>{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"2db58cda470d70297055ba46060e2cab894e89bda6bfbeb6a83b6026ef5c0341"
	    },
	    {
	      "customerRecordID": 2,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"facfa84f17d230eba97d9fbb80fd204eda2f3550f792f1bf00f841e522960813"
	    }
	  ]
	}</pre>

Submission by Industry Member 2 Generates a Material Inconsistency

In this submission, a second Industry Member (Industry Member 2) also submits an FDID Record with Marie Doe and Bob Doe associated to the FDID. Industry Member 2's Customer Record for Marie Doe has a different *yearOfBirth* ('1997') from what Industry Member 1 previously reported ('1979'). This creates an inter-firm Material Inconsistency and both Industry Member 1 and Industry Member 2 receive an Inconsistency Code of 40002 (Inconsistent data for *yearOfBirth* across Industry Members, or within a single clearing firm across correspondents) which they must resolve.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "ACCT02934",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OPTION"],
	      "accountName": "ACCT02934",
	      "fdidDate": 20111201,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "150 SW ORANGE ST",
	          "city": "BROOKLYN",</pre>

File	Data

```
              "regionCode": "US-NY",
              "countryCode": "US",
              "postalCode": "11201"
            }
          ],
          "fdidCustomerList": [
            {
              "customerRecordID": 1,
              "role": "TRDHOLDER",
              "roleStartDate": 20111201
            },
            {
              "customerRecordID": 2,
              "role": "TRDHOLDER",
              "roleStartDate": 20111201
            }
          ]
        }
      ],
      "naturalPersonCustomerList": [
        {
          "customerRecordID": 1,
          "firstName": "Marie",
          "middleName": "F",
          "lastName": "Doe",
          "yearOfBirth": 1997,
          "customerType": ["NOTAPPLICABLE"],
          "addressList": [
            {
              "addrType": "ADDRESS1",
              "addrLine1": "150 SW ORANGE ST",
              "city": "BROOKLYN",
              "regionCode": "US-NY",
              "countryCode": "US",
              "postalCode": "11201"
            }
          ]
        },
        {
          "customerRecordID": 2,
          "firstName": "Bob",
          "lastName": "Doe",
          "yearOfBirth": 1975,
          "customerType": ["NOTAPPLICABLE"],
          "addressList": [
            {
              "addrType": "ADDRESS1",
              "addrLine1": "150 SW ORANGE ST",
              "city": "BROOKLYN",
              "regionCode": "US-NY",
              "countryCode": "US",
              "postalCode": "11201"
            }
          ]
        }
```

File	Data
	] }

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"2db58cda470d70297055ba46060e2cab894e89bda6bfbeb6a83b6026ef5c0341"
	    },
	    {
	      "customerRecordID": 2,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"facfa84f17d230eba97d9fbb80fd204eda2f3550f792f1bf00f841e522960813"
	    }
	]
	}

Confirming Submission- Industry Member 2

Both Industry Members are notified that the inter-firm Material Inconsistency has been created via the Outstanding Material Inconsistencies Feedback File. Both Industry Members must take an action in order to resolve the inter-firm Material Inconsistency for its firm.

In this example, Industry Member 2 is confirming the *yearOfBirth* ('1997') that it submitted to CAIS, which still differs from what Industry Member 1 previously reported to CAIS ('1979'). Industry Member 2 must include the *updateNotification* field populated with 'true' for that Customer Record in order to resolve the inconsistency. Acceptance of a Customer Record with *updateNotification* populated with 'true' in response to an inter-firm Material Inconsistency will be considered as a one-time attestation of the Customer data and Industry Member 2 will not receive any further inter-firm Material Inconsistencies for this Customer Record.

In addition, the Industry Member 2 must resubmit the FDID Record with all Customer associations, as omitting the Customer Record for Bob Doe would remove this Customer's association to the FDID.

File	Data
Data	{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "ACCT02934", "fdidType": "ACCOUNT", "accountType": ["OPTION"], "accountName": "ACCT02934", "fdidDate": 20111201, "clearingBrokerID": ["1234"], "addressList": [

File	Data
| | ```json
          {
            "addrType": "ADDRESS1",
            "addrLine1": "150 SW ORANGE ST",
            "city": "BROOKLYN",
            "regionCode": "US-NY",
            "countryCode": "US",
            "postalCode": "11201"
          }
        ],
        "fdidCustomerList": [
          {
            "customerRecordID": 5,
            "role": "TRDHOLDER",
            "roleStartDate": 20111201
          },
          {
            "customerRecordID": 6,
            "role": "TRDHOLDER",
            "roleStartDate": 20111201
          }
        ]
      }
    ],
    "naturalPersonCustomerList": [
      {
        "customerRecordID": 5,
        "firstName": "Marie",
        "middleName": "F",
        "lastName": "Doe",
        "yearOfBirth": 1997,
        "customerType": ["NOTAPPLICABLE"],
        "updateNotification": true
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "150 SW ORANGE ST",
            "city": "BROOKLYN",
            "regionCode": "US-NY",
            "countryCode": "US",
            "postalCode": "11201"
          }
        ]
      },
      {
        "customerRecordID": 6,
        "firstName": "Bob",
        "lastName": "Doe",
        "yearOfBirth": 1975,
        "customerType": ["NOTAPPLICABLE"],
        "addressList": [
          {
            "addrType": "ADDRESS1",
            "addrLine1": "150 SW ORANGE ST",
            "city": "BROOKLYN",
            "regionCode": "US-NY",
``` |

File	Data

	`            "countryCode": "US",`
	`            "postalCode": "11201"`
	`          }`
	`        ]`
	`      }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`        "customerRecordID": 5,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"2db58cda470d70297055ba46060e2cab894e89bda6bfbeb6a83b6026ef5c0341"`
	`      },`
	`      {`
	`        "customerRecordID": 6,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"facfa84f17d230eba97d9fbb80fd204eda2f3550f792f1bf00f841e522960813"`
	`      }`
	`  ]`
	`}`

Updating Submission- Industry Member 1

Both Industry Members are notified that the inter-firm Material Inconsistency has been created via the Outstanding Material Inconsistencies Feedback File. Both Industry Members must take an action in order to resolve the inter-firm Material Inconsistency for its firm.

In this example, Industry Member 1 is updating the *yearOfBirth* from what it reported in its original submission ('1979') to '1997'. Industry Member 1 must include the *updateNotification* field populated with 'true' for that Customer Record in order to resolve the inconsistency. Acceptance of a Customer Record with *updateNotification* populated with 'true' in response to an inter-firm Material Inconsistency will be considered as a one-time attestation of the Customer data and Industry Member 1 will not receive any further inter-firm Material Inconsistencies for this Customer Record.

In addition, Industry Member 1 must resubmit the FDID Record with all Customer associations, as omitting the Customer Record for Bob Doe would remove this Customer's association to the FDID.

File	Data

Data	`{`
	`"fdidRecordList": [`
	`      {`
	`        "fdidRecordID": 1,`
	`        "firmDesignatedID": "ABC89592",`

File	Data

	`"fdidType": "ACCOUNT",`
	`"accountType": ["OTHER"],`
	`"accountName": "BKRGACCT123",`
	`"fdidDate": 20050219,`
	`"clearingBrokerID": ["1234"],`
	`"addressList": [`
	`    {`
	`        "addrType": "ADDRESS1",`
	`        "addrLine1": "150 SW ORANGE ST",`
	`        "city": "BROOKLYN",`
	`        "regionCode": "US-NY",`
	`        "countryCode": "US",`
	`        "postalCode": "11201"`
	`    }`
	`],`
	`"fdidCustomerList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20050219`
	`    },`
	`    {`
	`        "customerRecordID": 6,`
	`        "role": "TRDHOLDER",`
	`        "roleStartDate": 20050219`
	`    }`
	`]`
	`}`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`        "customerRecordID": 1,`
	`        "firstName": "Marie",`
	`        "lastName": "Doe",`
	`        "yearOfBirth": 1997,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "updateNotification": true`
	`        "addressList": [`
	`            {`
	`                "addrType": "ADDRESS1",`
	`                "addrLine1": "150 SW ORANGE ST",`
	`                "city": "BROOKLYN",`
	`                "regionCode": "US-NY",`
	`                "countryCode": "US",`
	`                "postalCode": "11201"`
	`            }`
	`        ]`
	`    },`
	`    {`
	`        "customerRecordID": 6,`
	`        "firstName": "Bob",`
	`        "lastName": "Doe",`
	`        "yearOfBirth": 1975,`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`

File	Data

	{
	        "addrType": "ADDRESS1",
	        "addrLine1": "150 SW ORANGE ST",
	        "city": "BROOKLYN",
	        "regionCode": "US-NY",
	        "countryCode": "US",
	        "postalCode": "11201"
	   }
	]
	}

TIDs	{
	"tidRecordList": [
	   {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"2db58cda470d70297055ba46060e2cab894e89bda6bfbeb6a83b6026ef5c0341"
	   },
	   {
	      "customerRecordID": 6,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"facfa84f17d230eba97d9fbb80fd204eda2f3550f792f1bf00f841e522960813"
	   }
	]
	}

5.4. Correcting an Erroneous TID Value

5.4.1. Correcting an Erroneous TID Value

This scenario illustrates the CAT reporting requirements when an Industry Member has submitted a Customer Record to CAIS which passed data validation checks, but the Industry Member later determines that the Input Identifier used to generate the *tidValue* was erroneously entered. For contrast, see Scenario 6.1.3: Correcting a Malformed TID Error where the Input Identifier did not pass data validation checks due to an invalid format.

In this example, the Industry Member initially used an EIN value of '00-069842**1**' for the TID; however, it later determined that the correct EIN value for the Customer was' 00-069842**2**'.

For the Customer Record generated from the erroneous TID value, the Industry Member must resubmit the Customer Record with a *roleEndDate* populated with the same date as the *roleStartDate* to indicate that the Customer Record should never have been associated to the FDID. In addition, the Industry Member must populate a *roleEndReason* of 'CORRECTION' for the erroneous Customer Record. It is not permissible to implicitly end this Customer's record by omitting it from the resubmission.

In this example, the Customer's *role* did not change when the Input Identifier was corrected, so, for the Customer Record generated from the correct TID value, the *roleStartDate* must be the original date the

Customer entered into the *role* of 'TRDHOLDER'. In the Transformed Identifiers File, the Industry Member must populate the Customer's correct TID value.

It is not permissible to use the *replacedByTID* functionality in scenarios where the TID was submitted to CAIS as an erroneous value.

The updated *tidValue* for the CAT Customer must be propagated across all FDID associations at the Industry Member.

Original Submission with Erroneous TID Value

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	        "fdidRecordID": 1,
	        "firmDesignatedID": "IA7026",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "Bkr Acct",
	        "fdidDate": 20220102,
	        "clearingBrokerID": ["1234"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "5 MAPLE AVE",
	            "city": "AUSTIN",
	            "regionCode": "US-TX",
	            "countryCode": "US",
	            "postalCode": "73301"
	          }
	        ],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 1,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20220102
	          }
	        ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	        "customerRecordID": 1,
	        "legalName": "ABC Corporation",
	        "ein": "00-0698421",
	        "customerType": ["NOTAPPLICABLE"],
	        "addressList": [
	          {
	            "addrType": "ADDRESS1",
	            "addrLine1": "5 MAPLE AVE",
	            "city": "AUSTIN",
	            "regionCode": "US-TX",
	            "countryCode": "US",</pre>

File	Data
	"postalCode": "73301" }] }] }

TIDs	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "EIN",
	      "tidValue":
	"cb85ea9881aa9dc3b999ba9c1720a009274d12e3dad929151014cbf2d189af22"
	    }
	]
	}

Correcting Submission

In the correcting submission, the Industry Member must include two Customer Records: (1) a record for the Customer associated with the *tidValue* generated from the incorrect Input Identifier value, with a *roleEndReason* of 'CORRECTION' and a *roleEndDate* populated with the same date as the *roleStartDate* to indicate that the Customer Record should not have been associated to the FDID; and (2) a new record for the Customer associated with the *tidValue* generated from the correct Input Identifier value, with a *roleStartDate* reflecting the date the Customer originally entered into the specified *role* and not the date that the new *tidValue* was generated based on the correct Input Identifier. In addition, there must be two corresponding entries in the Transformed Identifiers File.

File	Data

Data	{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "IA7026",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "Bkr Acct",
	      "fdidDate": 20220102,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	       {
	         "addrType": "ADDRESS1",
	         "addrLine1": "5 MAPLE AVE",
	         "city": "AUSTIN",
	         "regionCode": "US-TX",
	         "countryCode": "US",
	         "postalCode": "73301"
	       }
	      ],

File	Data

	`"fdidCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20220102,`
	`      "roleEndDate": 20220102,`
	`      "roleEndReason": "CORRECTION"`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "role": "TRDHOLDER",`
	`      "roleStartDate": 20220102`
	`    }`
	`  ]`
	`  }`
	`],`
	`"legalEntityCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "legalName": "ABC Corporation",`
	`      "ein": "00-0698421",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "5 MAPLE AVE",`
	`          "city": "AUSTIN",`
	`          "regionCode": "US-TX",`
	`          "countryCode": "US",`
	`          "postalCode": "73301"`
	`        }`
	`      ]`
	`    },`
	`    {`
	`      "customerRecordID": 2,`
	`      "legalName": "ABC Corporation",`
	`      "ein": "00-0698422",`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "5 MAPLE AVE",`
	`          "city": "AUSTIN",`
	`          "regionCode": "US-TX",`
	`          "countryCode": "US",`
	`          "postalCode": "73301"`
	`        }`
	`      ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`

File	Data

	"tidType": "EIN",
	      "tidValue":
	"cb85ea9881aa9dc3b999ba9c1720a009274d12e3dad929151014cbf2d189af22"
	    },
	    {
	      "customerRecordID": 2,
	      "tidType": "EIN",
	      "tidValue":
	"db0b3bbfde73b1662acd3dfbb180ad65d76863417c15bb2b375ee77a98f760bd"
	    }
	]
	}

5.5. Resolving a Customer Record Type Inconsistency

This scenario illustrates the CAT reporting requirements when an Industry Member reports the same foreign CAT Customer twice, with differing Customer Record Types (both as a Natural Person and as a Legal Entity).

In this example, in the original submission, the Industry Member reported the foreign Customer as a Natural Person. In a subsequent submission, the Industry Member reported the foreign Customer as a Legal Entity. An intra-firm Material Inconsistency will be generated for this Industry Member because it has reported the same foreign CAT Customer within the *naturalPersonCustomerList* and the *legalEntityCustomerList*. This results in Inconsistency Code 30004 (Foreign TID reported as both Natural Person and Legal Entity within the Industry Member). The inconsistency is subsequently resolved by submitting the correct Customer Record Type in addition to populating *updateNotification* with 'true'.

Original Submission as a Natural Person

File	Data
Data	{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": " IA0613", "fdidType": "ACCOUNT", "accountType": ["OTHER"], "accountName": "Acct 789", "fdidDate": 20070513, "clearingBrokerID": ["1234"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "5 MAPLE AVE", "city": "AUSTIN", "regionCode": "US-TX", "countryCode": "US", "postalCode": "73301"

File	Data
	`            }` `          ],` `          "fdidCustomerList": [` `            {` `              "customerRecordID": 2,` `              "role": "TRDHOLDER",` `              "roleStartDate": 20070513` `            }` `          ]` `        }` `      ],` ` ` "naturalPersonCustomerList": [` ` {` ` "customerRecordID": 2,` ` "firstName": "JANE",` ` "lastName": "DOE",` ` "doingBusinessAs": "JANE DOE LIVING TRUST",` ` "yearOfBirth": 1979,` ` "customerType": ["TRUST"],` ` "addressList": [` ` {` ` "addrType": "ADDRESS1",` ` "addrLine1": "5 MAPLE AVE",` ` "city": "AUSTIN",` ` "regionCode": "US-TX",` ` "countryCode": "US",` ` "postalCode": "73301"` ` }` `]` ` }` `]` `}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 2,`
	`      "tidType": "FOREIGN",`
	`      "foreignTIDType": "NATIONALID",`
	`      "foreignTIDCountryCd": "CA",`
	`      "tidValue":`
	`"e6b5aa46b28a5dd7c39a53e2f755d5964228cb656bb436ab7d9cb9afd57961d3"`
	`    }`
	`]`
	`}`

Subsequent Submission as a Legal Entity

File	Data

Data	`{`
	`"fdidRecordList": [`
	`    {`
	`        "fdidRecordID": 1,`

File	Data

	`"firmDesignatedID": "IA0613",`
	`"fdidType": "ACCOUNT",`
	`"accountType": ["OTHER"],`
	`"accountName": "Acct 789",`
	`"fdidDate": 20070513,`
	`"clearingBrokerID": ["1234"],`
	`"addressList": [`
	  `{`
	    `"addrType": "ADDRESS1",`
	    `"addrLine1": "5 MAPLE AVE",`
	    `"city": "AUSTIN",`
	    `"regionCode": "US-TX",`
	    `"countryCode": "US",`
	    `"postalCode": "73301"`
	  `}`
	`],`
	`"fdidCustomerList": [`
	  `{`
	    `"customerRecordID": 1,`
	    `"role": "TRDHOLDER",`
	    `"roleStartDate": 20070513`
	  `}`
	`]`
	`}`
	`],`
	`"legalEntityCustomerList": [`
	  `{`
	    `"customerRecordID": 1,`
	    `"legalName": "JANE DOE LIVING TRUST",`
	    `"customerType": ["TRUST"],`
	    `"addressList": [`
	      `{`
	        `"addrType": "ADDRESS1",`
	        `"addrLine1": "5 MAPLE AVE",`
	        `"city": "AUSTIN",`
	        `"regionCode": "US-TX",`
	        `"countryCode": "US",`
	        `"postalCode": "73301"`
	      `}`
	    `]`
	  `}`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	  `{`
	    `"customerRecordID": 1,`
	    `"tidType": "FOREIGN",`
	    `"foreignTIDType": "NATIONALID",`
	    `"foreignTIDCountryCd": "CA",`
	    `"tidValue":`
	`"e6b5aa46b28a5dd7c39a53e2f755d5964228cb656bb436ab7d9cb9afd57961d3"`
	  `}`
	`]`
	`}`

Updating Submission

In the updating submission, the Industry Member resubmits the correct Customer Record Type, reporting the foreign Customer as a Natural Person, and populates *updateNotification* with 'true'.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	       "fdidRecordID": 1,
	       "firmDesignatedID": "IA0613",
	       "fdidType": "ACCOUNT",
	       "accountType": ["OTHER"],
	       "accountName": "Acct 789",
	       "fdidDate": 20070513,
	       "clearingBrokerID": ["1234"],
	       "addressList": [
	          {
	             "addrType": "ADDRESS1",
	             "addrLine1": "5 MAPLE AVE",
	             "city": "AUSTIN",
	             "regionCode": "US-TX",
	             "countryCode": "US",
	             "postalCode": "73301"
	          }
	       ],
	       "fdidCustomerList": [
	          {
	             "customerRecordID": 2,
	             "role": "TRDHOLDER",
	             "roleStartDate": 20070513
	          }
	       ]
	    }
	],
	"naturalPersonCustomerList": [
	    {
	       "customerRecordID": 2,
	       "firstName": "JANE",
	       "lastName": "DOE",
	       "doingBusinessAs": "JANE DOE LIVING TRUST",
	       "yearOfBirth": 1979,
	       "customerType": ["TRUST"],
	       "updateNotification": true,
	       "addressList": [
	          {
	             "addrType": "ADDRESS1",
	             "addrLine1": "5 MAPLE AVE",
	             "city": "AUSTIN",
	             "regionCode": "US-TX",
	             "countryCode": "US",
	             "postalCode": "73301"
	          }
	       ]
	    }</pre>

File	Data
	`}`

TIDs	```{```
	 ```"tidRecordList": [```
	 ``` {```
	 ``` "customerRecordID": 2,```
	 ``` "tidType": "FOREIGN",```
	 ``` "foreignTIDType": "NATIONALID",```
	 ``` "foreignTIDCountryCd": "CA",```
	 ``` "tidValue":```
	 ```"e6b5aa46b28a5dd7c39a53e2f755d5964228cb656bb436ab7d9cb9afd57961d3"```
	 ``` }```
	 ```]```
	 ```}```

6.   Correction List

This section illustrates the CAT reporting requirements for use of the *correctionList*. The *correctionList* is a feature of the CAIS Data File available to support repair of Data Validation Errors through the submission of one or more Correction Action Records.

All Data Validation Errors (Error Codes 22001 through 23999) may be repaired by submitting a *correctionAction* of 'DELETE'.

When a malformed FDID or Customer was submitted to CAIS, it must be repaired by submitting a *correctionAction* of 'CORRECTION' or 'DELETE'. Records failing Data Validation for the following reasons require use of the *correctionList* within the CAIS Data File:

1. Missing or Invalid *firmDesignatedID* (Error Code 22001)

2. Malformed TID Record (Error Code 22900)

3. *customerRecordID* not present in paired Transformed Identifiers File (Error Code 22526)

4. Missing or Invalid *customerRecordID* in paired Data File (Error Code 22501)

5. Paired TID record failed validation (Error Code 22914)

6.1.1.   Deleting a Malformed FDID Rejection

This scenario illustrates the CAT reporting requirements when a malformed FDID is submitted to CAIS and the Industry Member wishes to resolve the rejection by deleting it. A *correctionAction* of 'DELETE' does not delete the FDID or Customer Record from the CAIS system; it deletes the rejection. Any FDID Records or Customer Records that are required to be reported to CAIS but were submitted with a *correctionAction* of 'DELETE' must be accepted in its full current state by CAIS in a prior or subsequent submission.

In this example, the Industry Member's original submission included the '@' sign in the *firmDesignatedID* attribute, which is not an allowable value for a Text Data Type. This results in a rejection with Error Code 22001 (Missing or Invalid *firmDesignatedID*) and a *rejectionID* of '999999' in its feedback file. Also in this example, since this is the only FDID that the Customer is associated with in this specific submission file, the Industry Member will receive Error Code 22523 (Customer Record rejected because an associated FDID was rejected) and a *rejectionID* of 555555 in its feedback file. The Industry Member determines the submission was erroneous and should not have been submitted to CAIS, and deletes the rejections using correction actions of 'DELETE' for each *rejectionID.*

In this example, the Industry Member must include in the *correctionList* the *rejectionID* value of '999999' and a *correctionAction* of 'DELETE' as well as the *rejectionID* value of '555555' and a *correctionAction* of 'DELETE'.

Submission with Error

In the original submission, the '@' sign was erroneously included in the *firmDesignatedID* field.

File	Data

Data	<code>{
	"fdidRecordList": [
	    {
	      "fdidRecordID": 1,
	      "firmDesignatedID": "1@345678910",
	      "fdidType": "ACCOUNT",
	      "accountType": ["OTHER"],
	      "accountName": "ACCT 1Q34567",
	      "fdidDate": 20160721,
	      "clearingBrokerID": ["1234"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "10 ELM STREET",
	          "addrLine2": "BUILDING 5",
	          "addrLine3": "STE 10",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",
	          "countryCode": "US",
	          "postalCode": "28379"
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20160721
	        }
	      ]
	    }
	],
	"naturalPersonCustomerList": [
	    {
	      "customerRecordID": 1,
	      "firstName": "Roger",
	      "lastName": "Smith",
	      "yearOfBirth": 1981,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "10 ELM STREET",
	          "addrLine2": "BUILDING 5",
	          "addrLine3": "STE 10",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",</code>

File	Data

	`                "countryCode": "US",`
	`                "postalCode": "28379"            }`
	`        ]`
	`      }`
	`  ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "tidType": "SSN/ITIN",`
	`        "tidValue":`
	`"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"`
	`      }`
	`  ]`
	`}`

Repairing Submission by Deleting the FDID Record

The repairing submission includes both *rejectionID*s in the *correctionList* with *correctionAction* of 'DELETE'.

In this example, main-level JSON objects are included for clarity.

File	Data

Data	`{`
	`    "version": "2.0.0",`
	`    "catReporterCRD": 12345,`
	`    "catSubmitterID": 12345,`
	`    "fdidRecordCount": 0,`
	`    "naturalPersonCustomerRecordCount": 0,`
	`    "legalEntityCustomerRecordCount": 0,`
	`    "correctionList": [`
	`      {`
	`        "rejectionID": 999999,`
	`        "correctionAction": "DELETE"`
	`      },`
	`      {`
	`        "rejectionID": 555555,`
	`        "correctionAction": "DELETE"`
	`      }`
	`  ]`
	`}`

TIDs	`{`
	`"version": "2.0.0",`
	`"tidRecordCount": 0`
	`}`

6.1.2. Correcting a Malformed FDID Rejection

This scenario illustrates the CAT reporting requirements when a malformed FDID is submitted to CAIS and the Industry Member wishes to resolve the rejection by correcting the FDID rather than deleting the rejection.

In this example, the Industry Member's original submission included the '@' sign in the *firmDesignatedID* attribute, which is not an allowable value for a Text Data Type. This results in a rejection with Error Code 22001 (Missing or Invalid *firmDesignatedID*) and a *rejectionID* of '12345' in its feedback file. Also in this example, since this is the only FDID that the Customer is associated to in this specific submission file, the Industry Member will receive Error Code 22523 (Customer Record rejected because an associated FDID was rejected) and a *rejectionID* of '98765' in its feedback file. The Industry Member determines the FDID was reported to CAIS with an incorrect *firmDesignatedID* value of '1@34567', and wishes to repair the *firmDesignatedID* with a value of '1A34567' using a *correctionAction* of 'CORRECTION'.

Repairing Error Code 22001 (Missing or Invalid *firmDesignatedID*) requires use of the *correctionList*. In this example, the Industry Member must include the *rejectionID* value of '12345', a *correctionAction* of 'CORRECTION' and a *correctingFirmDesignatedID* value of '1A34567' in the *correctionList.* The *correctingFirmDesignatedID* value must reference a corresponding FDID that is either included in the current submission file or was accepted by CAT CAIS in a prior submission file. A properly formatted submission with all required fields and the original Customer that received the 22523 Error Code will repair both Error Codes 22001 and 22523.

Original Submission with Error

In the original submission, the '@' sign was erroneously included in the *firmDesignatedID* field.

File	Data
| Data | ```json
{
"fdidRecordList": [
    {
      "fdidRecordID": 1,
      "firmDesignatedID": "1@34567",
      "fdidType": "ACCOUNT",
      "accountType": ["OTHER"],
      "accountName": "ACCT 1S34567",
      "fdidDate": 20160721,
      "clearingBrokerID": ["1234"],
      "addressList": [
        {
          "addrType": "ADDRESS1",
          "addrLine1": "10 ELM STREET",
          "addrLine2": "BUILDING 5",
          "addrLine3": "STE 10",
          "city": "RICHMOND",
          "regionCode": "US-NC",
          "countryCode": "US",
          "postalCode": "28379"
``` |

File	Data

	``
	        }
	      ],
	      "fdidCustomerList": [
	        {
	          "customerRecordID": 1,
	          "role": "TRDHOLDER",
	          "roleStartDate": 20160721
	        }
	      ]
	    }
	  ],
	  "naturalPersonCustomerList": [
	    {
	      "customerRecordID": 1,
	      "firstName": "Roger",
	      "lastName": "Smith",
	      "yearOfBirth": 1981,
	      "customerType": ["NOTAPPLICABLE"],
	      "addressList": [
	        {
	          "addrType": "ADDRESS1",
	          "addrLine1": "10 ELM STREET",
	          "addrLine2": "BUILDING 5",
	          "addrLine3": "STE 10",
	          "city": "RICHMOND",
	          "regionCode": "US-NC",
	          "countryCode": "US",
	          "postalCode": "28379"
	        }
	      ]
	    }
	  ]
	}
	``

TIDs	```
	{
	"tidRecordList": [
	    {
	      "customerRecordID": 1,
	      "tidType": "SSN/ITIN",
	      "tidValue":
	"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"
	    }
	  ]
	}
	``

Repairing Submission by Correcting the FDID Record

The repairing submission includes a *rejectionID* of '12345' in the *correctionList* with a pointer to the correcting FDID Record (*correctingFirmDesignatedID* value 'IA34567'). It also includes the repairing FDID Record within the submission file (*firmDesignatedID* value of '1A34567').

File	Data
Data	{

File	Data

	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1A34567",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "ACCT 1A34567",`
	`      "fdidDate": 20160721,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 ELM STREET",`
	`          "addrLine2": "BUILDING 5",`
	`          "addrLine3": "STE 10",`
	`          "city": "RICHMOND",`
	`          "regionCode": "US-NC",`
	`          "countryCode": "US",`
	`          "postalCode": "28379"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20160721`
	`        }`
	`      ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "Roger",`
	`      "lastName": "Smith",`
	`      "yearOfBirth": 1981,`
	`      "customerType": ["NOTAPPLICABLE"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "10 ELM STREET",`
	`          "addrLine2": "BUILDING 5",`
	`          "addrLine3": "STE 10",`
	`          "city": "RICHMOND",`
	`          "regionCode": "US-NC",`
	`          "countryCode": "US",`
	`          "postalCode": "28379"`
	`        }`
	`      ]`
	`    }`
	`],`
	`"correctionList": [`
	`    {`
	`      "rejectionID": 12345,`
	`      "correctionAction": "CORRECTION",`

File	Data

	`            "correctingFirmDesignatedID": "IA34567"`
	`      }`
	`   ]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`      {`
	`         "customerRecordID": 1,`
	`         "tidType": "SSN/ITIN",`
	`         "tidValue":`
	`"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"`
	`      }`
	`   ]`
	`}`

6.1.3. Correcting a Malformed TID Error

This scenario illustrates the CAT reporting requirements when an Industry Member has submitted a malformed TID to CAIS and must repair the error.

In this example, the CAT Customer has an *ein* of '00-1987445', however the Input Identifier used to generate the Customer's TID contains an extra dash ('00--1987445'). This results in rejections with Warning Code 24907 (Malformed TID Record -Invalid Input Identifier used to generate *tidValue* for *tidType* of EIN); Error Code 22900 (Malformed TID Record – CAT Customer Record not processed) and *rejectionID* of '12345'; and Error Code 22048 (Associated Customer Record rejected) and a *rejectionID* of '67890' in the Industry Member's feedback file. If the Industry Member wishes to repair *rejectionID* '12345' using a *correctionAction* of 'CORRECTION' and includes the original FDID which received Error Code 22048 this will automatically resolve both Error Codes (22900 and 22048).

Repairing Error Code 22900 (Malformed TID Record – CAT Customer Record not processed) requires use of the *correctionList*. In this example, the Industry Member must include the *rejectionID* value of '12345', a *correctionAction* of 'CORRECTION' and a *correctingCustomerRecordID* (referencing the *customerRecordID* included in the current submission file that is correcting the rejection)*.*

Original Submission with Error In the original submission, the *tidValue* in the Transformed Identifiers File was incorrectly hashed due to the Input Identifier containing an extra dash ('00--1987445').

File	Data

Data	`{`
	`"fdidRecordList": [`
	`      {`
	`         "fdidRecordID": 1,`
	`         "firmDesignatedID": "IA0867",`
	`         "fdidType": "ACCOUNT",`

File	Data

	`        "accountType": ["OTHER"],`
	`        "accountName": "Bridge Corp",`
	`        "fdidDate": 20120520,`
	`        "clearingBrokerID": ["1234"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "5 MAPLE AVE",`
	`            "city": "AUSTIN",`
	`            "regionCode": "US-TX",`
	`            "countryCode": "US",`
	`            "postalCode": "73301"`
	`          }`
	`        ],`
	`        "fdidCustomerList": [`
	`          {`
	`            "customerRecordID": 1,`
	`            "role": "TRDHOLDER",`
	`            "roleStartDate": 20120520`
	`          }`
	`        ]`
	`      }`
	`    ],`
	`    "legalEntityCustomerList": [`
	`      {`
	`        "customerRecordID": 1,`
	`        "legalName": "Bridge Corp",`
	`        "ein": "00-1987445",`
	`        "customerType": ["NOTAPPLICABLE"],`
	`        "addressList": [`
	`          {`
	`            "addrType": "ADDRESS1",`
	`            "addrLine1": "5 MAPLE AVE",`
	`            "city": "AUSTIN",`
	`            "regionCode": "US-TX",`
	`            "countryCode": "US",`
	`            "postalCode": "73301"`
	`          }`
	`        ]`
	`      }`
	`    ]`
	`  }`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`
	`"33c1420dffc371e105c0a469e3566c0ee9b45ddc26a93ae238b2a7db4c624828"`
	`    }`
	`  ]`
	`}`

Repairing Submission by Correcting the Customer Record

The firm creates a correcting submission that includes the correct Customer Record and corresponding TID, noting the *rejectionID* value of '12345', a *correctionAction* of 'CORRECTION' and a *correctingCustomerRecordID* (referencing the *customerRecordID* included in the current submission file that is correcting the rejection)*.

File	Data

Data	<pre>{
	"fdidRecordList": [
	    {
	       "fdidRecordID": 1,
	       "firmDesignatedID": "IA0867",
	       "fdidType": "ACCOUNT",
	       "accountType": ["OTHER"],
	       "accountName": "Bridge Corp",
	       "fdidDate": 20120520,
	       "clearingBrokerID": ["1234"],
	       "addressList": [
	          {
	             "addrType": "ADDRESS1",
	             "addrLine1": "5 MAPLE AVE",
	             "city": "AUSTIN",
	             "regionCode": "US-TX",
	             "countryCode": "US",
	             "postalCode": "73301"
	          }
	       ],
	       "fdidCustomerList": [
	          {
	             "customerRecordID": 1,
	             "role": "TRDHOLDER",
	             "roleStartDate": 20120520
	          }
	       ]
	    }
	],
	"legalEntityCustomerList": [
	    {
	       "customerRecordID": 1,
	       "legalName": "Bridge Corp",
	       "ein": "00-1987445",
	       "customerType": ["NOTAPPLICABLE"],
	       "addressList": [
	          {
	             "addrType": "ADDRESS1",
	             "addrLine1": "5 MAPLE AVE",
	             "city": "AUSTIN",
	             "regionCode": "US-TX",
	             "countryCode": "US",
	             "postalCode": "73301"
	          }
	       ]
	    }
	],
	"correctionList": [</pre>

File	Data

	``
	        {
	          "rejectionID": 12345,
	          "correctionAction": "CORRECTION",
	          "correctingCustomerRecordID": 1
	        }
	    ]
	    }
	``

TIDs	```
	{
	"tidRecordList": [
	      {
	        "customerRecordID": 1,
	        "tidType": "EIN",
	        "tidValue":
	"3fb5f53b2266b80eab62eeb791b7294577b22b73cf25d028d9284591753aa86f"
	      }
	    ]
	    }
	``

6.1.4. Optionally Deleting a Rejection for a Data Validation Error on an FDID Record

This scenario illustrates the CAT reporting requirements when an Industry Member has reported an FDID that was not required to be submitted to CAIS and was subsequently rejected. However, the Industry Member does not have the information required to repair the rejection and opts to delete it.

In this example, the Industry Member's original submission did not include an address for the FDID Record or the Customer Record. This results in rejections with Error Code 22055 (Missing 'ADDRESS1' type Address Record on the FDID Record) and a *rejectionID* of '99955'; and Error Code 22514 (Missing 'ADDRESS1' type Address Record on the Customer Record) and a *rejectionID* of '77733'. Since the Industry Member was not required to report this FDID to CAIS and does not have an FDID and Customer address to report to repair the rejections, the Industry Member opts to repair both rejections using a *correctionAction* of 'DELETE'.

In this example, the Industry Member must include in the *correctionList* the *rejectionID* value of '99955' and a *correctionAction* of 'DELETE' as well as the *rejectionID* value of '77733' and a *correctionAction* of 'DELETE'.

Original Submission with Error

In the original submission, the 'ADDRESS1' type Address Record is missing from the FDID and Customer Records in the CAIS Data File.

File	Data

Data	```
	{
	"fdidRecordList": [
	      {
	        "fdidRecordID": 1,
	``

File	Data

	``
	        "firmDesignatedID": "1H3792",
	        "fdidType": "ACCOUNT",
	        "accountType": ["OTHER"],
	        "accountName": "FIXED INCOME ACCT 329",
	        "fdidDate": 20231114,
	        "clearingBrokerID": ["1234"],
	        "fdidCustomerList": [
	          {
	            "customerRecordID": 1,
	            "role": "TRDHOLDER",
	            "roleStartDate": 20231114
	          }
	        ]
	      }
	  ],
	  "naturalPersonCustomerList": [
	      {
	        "customerRecordID": 1,
	        "firstName": "MALIK",
	        "lastName": "WILLIAMS",
	        "yearOfBirth": 1939,
	        "customerType": ["NOTAPPLICABLE"]
	      }
	  ]
	}
	``

TIDs	```
	{
	"tidRecordList": [
	      {
	        "customerRecordID": 1,
	        "tidType": "SSN/ITIN",
	        "tidValue":
	"568ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"
	      }
	  ]
	}
	``

Repairing Submission by Optionally Deleting the Rejections

Since this FDID is not required to be reported to CAIS, the Industry Member opts to repair both rejections using a *correctionAction* of 'DELETE'.

In this example, main-level JSON objects are included for clarity.

File	Data

Data	```
	{
	    "version": "2.0.0",
	    "catReporterCRD": 12345,
	    "catSubmitterID": 12345,
	    "fdidRecordCount": 0,
	    "naturalPersonCustomerRecordCount": 0,
	    "legalEntityCustomerRecordCount": 0,
	    "correctionList": [
	``

File	Data

	`{`
	`    "rejectionID": 99955,`
	`    "correctionAction": "DELETE"`
	`},      {`
	`    "rejectionID": 77733,`
	`    "correctionAction": "DELETE"`
	`  }`
	`  ]`
	`}`

TIDs	`{`
	`"version": "2.0.0",`
	`"tidRecordCount": 0`
	`}`

6.1.5. Optionally Deleting a Rejection for a Data Validation Error on a Customer Record

This scenario illustrates the CAT reporting requirements when an Industry Member has erroneously reported a mismatch on the Customer Type (Natural Person or Legal Entity) and *tidType*. Similar guidance would apply when there is a mismatch on Customer Type (Natural Person or Legal Entity) and *foreignTIDType*.

In this example, the Customer is a trust with an Input Identifier that is a Social Security Number (SSN). However, the Industry Member erroneously hashed the SSN as an Employer Identification Number (EIN)-formatted as 99-9999999- and reported the Customer in the *naturalPersonCustomerList.* This results in a rejection with Error Code 22542 (Natural Person CAT Customer reported with improper *tidType*) and a *rejectionID* '77799'. In order to repair this error code, the Customer must be resubmitted in the *legalEntityCustomerList* with a *tidType* of 'EIN' and the same *tidValue*. However, since the hashed TID value represents a Customer that is not actually associated to the FDID, the Industry Member opts to repair the rejection using a *correctionAction* of 'DELETE'.

Additionally, since one of the FDID's associated Customer Records was rejected, the FDID is also rejected with Error Code 22048 (Associated Customer Record rejected) and a *rejectionID* of '44433'. In this example, since the Industry Member is required to report its Customer in association to this FDID, it resubmits the FDID Record in its current state with all required LTID and Customer associations which repairs *rejectionID* '44433'.

Original Submission with Error

In the original submission, the Customer is correctly reported in the *naturalPersonCustomerList* in the CAIS Data File but erroneously reported with a *tidType* of 'EIN' and an incorrectly hashed *tidValue* in the Transformed Identifiers File.

File	Data
Data	`{`

File	Data

	`"fdidRecordList": [`
	`    {`
	`      "fdidRecordID": 1,`
	`      "firmDesignatedID": "1TY3782",`
	`      "fdidType": "ACCOUNT",`
	`      "accountType": ["OTHER"],`
	`      "accountName": "TRUST ACCOUNT",`
	`      "fdidDate": 20231205,`
	`      "clearingBrokerID": ["1234"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "9799 GARDEN COURT",`
	`          "city": "CHARLESTON",`
	`          "regionCode": "US-SC",`
	`          "countryCode": "US",`
	`          "postalCode": "29464"`
	`        }`
	`      ],`
	`      "fdidCustomerList": [`
	`        {`
	`          "customerRecordID": 1,`
	`          "role": "TRDHOLDER",`
	`          "roleStartDate": 20231205`
	`        }`
	`      ]`
	`    }`
	`],`
	`"naturalPersonCustomerList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "firstName": "Xavier",`
	`      "lastName": "Puddy",`
	`      "doingBusinessAs": "XAVIER PUDDY LIVING TRUST",`
	`      "yearOfBirth": 1992,`
	`      "customerType": ["TRUST"],`
	`      "addressList": [`
	`        {`
	`          "addrType": "ADDRESS1",`
	`          "addrLine1": "9799 GARDEN COURT",`
	`          "city": " CHARLESTON",`
	`          "regionCode": "US-SC",`
	`          "countryCode": "US",`
	`          "postalCode": "29464"`
	`        }`
	`      ]`
	`    }`
	`]`
	`}`

TIDs	`{`
	`"tidRecordList": [`
	`    {`
	`      "customerRecordID": 1,`
	`      "tidType": "EIN",`
	`      "tidValue":`

File	Data

	`"8727f10277set95f31fxm55898k09aa641c49d3df28e7074ae5335e94f61z12y"`
	`        }`
	`    ]`
	`}`

Repairing Submission with Optional Deletion of the Customer Record Rejection

Since the Customer is required to be reported to CAIS in association with this FDID, the Industry Member must resubmit the FDID Record including the correct required Customer association. Doing so repairs *rejectionID* '44433'.

Additionally, since the TID value was hashed erroneously in the original submission, submission of the correctly hashed TID value will not result in linking the repair to the rejection. Thus, the Industry Member opts to repair the Customer Record rejection using a *correctionAction* of 'DELETE'.

In this example, main-level JSON objects are included for clarity.

File	Data

Data	`{`
	`    "version": "2.0.0",`
	`    "catReporterCRD": 55555,`
	`    "catSubmitterID": 55555,`
	`    "fdidRecordCount": 1,`
	`    "naturalPersonCustomerRecordCount": 1,`
	`    "legalEntityCustomerRecordCount": 0,`
	`    "fdidRecordList": [`
	`        {`
	`            "fdidRecordID": 1,`
	`            "firmDesignatedID": "1TY3782",`
	`            "fdidType": "ACCOUNT",`
	`            "accountType": ["OTHER"],`
	`            "accountName": "TRUST ACCOUNT",`
	`            "fdidDate": 20231205,`
	`            "clearingBrokerID": ["1234"],`
	`            "addressList": [`
	`                {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "9799 GARDEN COURT",`
	`                    "city": "CHARLESTON",`
	`                    "regionCode": "US-SC",`
	`                    "countryCode": "US",`
	`                    "postalCode": "29464"`
	`                }`
	`            ],`
	`            "fdidCustomerList": [`
	`                {`
	`                    "customerRecordID": 1,`
	`                    "role": "TRDHOLDER",`
	`                    "roleStartDate": 20231205`
	`                }`
	`            ]`

File	Data

	`        }`
	`    ],`
	`    "naturalPersonCustomerList": [`
	`        {`
	`            "customerRecordID": 1,`
	`            "firstName": "Xavier",`
	`            "lastName": "Puddy",`
	`            "doingBusinessAs": "XAVIER PUDDY LIVING TRUST",`
	`            "yearOfBirth": 1992,`
	`            "customerType": ["TRUST"],`
	`            "addressList": [`
	`                {`
	`                    "addrType": "ADDRESS1",`
	`                    "addrLine1": "9799 GARDEN COURT",`
	`                    "city": " CHARLESTON",`
	`                    "regionCode": "US-SC",`
	`                    "countryCode": "US",`
	`                    "postalCode": "29464"`
	`                }`
	`            ],`
	`            "correctionList": [`
	`                {`
	`            "rejectionID": 77799,`
	`            "correctionAction": "DELETE"`
	`                }`
	`            ]`
	`        }`
	`    ]`
	`}`

TIDs	`{`
	`"version": 2.0.0",`
	`"tidRecordCount": 1,`
	`"tidRecordList": [`
	`        {`
	`            "customerRecordID": 1,`
	`            "tidType": "SSN/ITIN",`
	`            "tidValue":`
	`"378ca6d8af479889d124c329061ea0762a9c87abc3c80fddb659804477531e1a"`
	`        }`
	`]`
	`}`