

# **Industry Member Reference Database Reporter Portal User Guide**

**04/01/2026  
Version 2.9.0**

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## Change Log

Version	Date Published	Description of Change(s)
1.0.0	2020-08-21	Initial User Guide
1.1.0	2020-11-4	Added "Entity ID" as an acceptable FDID Type value Added guidance on aggregated statistics functionality for the submission report Included test versus production environment access information for CAIS Release 1.1
1.2.0	2021-3-24	Updated Access Information to provide Prod Mirror URLs
2.0.0	2022-1-26	Added of CAIS 2.0 fields and values to Manual Submission section Added of Customer Rejections page to Rejections section Added of Inconsistencies to Error Corrections section Clarified that CAIS Reporting Relationships are view-only in the CAIS application
2.1.0	N/A	No user guide updates were published in conjunction with CAIS Release 2.1
2.2.0	04/22/2022	Updated information in Sections 1, 2 and 3 for clarity Updated Section 6.2 to reflect the collection of DVP Custodian ID Reformatted all screenshots for consistency and usability
2.3.0	04/23/2024	Renamed the "Companion Resources" section to conform with the Industry Member CAIS Onboarding Guide Added clarifications to Section 3 – Access Information Added new steps, screenshots and clarifications to Section 4 – Reporting Feedback, Section 5 – Rejections and Inconsistencies and Section 6 – Report to CAIS Added new Section 4.2.2 – Inconsistencies Report and new Section 4.2.3 – Download Feedback Removed the FDID Version Report section due to retirement of the report Renamed Section 5 to "Rejections and Inconsistencies", Section 5.2 to "Rejection Repair" and Section 6.3 to "Download Submission Feedback Files" Added new Section 5.4 – Material Inconsistency Resolution Added new screenshots and clarifications to Section 7 – CAIS Reporting Relationships Removed the Administrative Information section Removed references to expired guidance Updated screenshots throughout Updated section numbers and steps, where necessary Conformed terminology for consistency with other published guidance Corrected minor typos throughout
2.4.0	05/31/2024	Updated screenshots in Section 5.1 – Viewing Rejections

2.5.0	10/11/2024	<p>Updated screenshot and data available from the Report Management screen in Section 4.1 – Reporting Summary</p> <p>Updated screenshots, added clarifications and made changes to conform with updates to the CAIS Reporter Portal in Section 4.2 – Reporting Statistics, Section 5.1 – Viewing Rejections, Section 5.3 – Viewing Inconsistencies, and Section 6.2 – Manually Report Data to CAIS</p> <p>Added new Section 4.2.5 – Unique Rejections Report</p> <p>Added new Section 8 – CAIS Report Card</p>
2.6.0	12/06/2024	<p>Included information on the sort and filter functionalities throughout</p> <p>Added field descriptions throughout</p> <p>Updated Section 4.2 – Reporting Statistics to include the FDID Refresh Report</p> <p>Added new Section 4.2.6 – FDID Refresh Report</p> <p>Added new Section 6.3 – Submissions in Progress</p> <p>Corrected minor typos throughout</p>
2.7.0	04/01/2025	<p>Updated screenshots in Section 4.2.6 – FDID Refresh Report</p>
2.8.0	08/28/2025	<p>Updated information in Section 4.2.5 – Unique Rejections Report</p> <p>Updated information and screenshots in Section 5.1 – Viewing Rejections</p>
2.9.0	04/01/2026	<p>Changes to conform with the January 13, 2026 SEC Order Approving Proposed Amendment:</p> <ul style="list-style-type: none"> <li>• Renamed “Customer and Account Information System” to “Reference Database”</li> <li>• Renamed “Industry Member CAT Reporter Portal – CAIS” to “Reference Database Reporter Portal”</li> </ul> <p>Conformed usage of “Customer” and “CAT Customer” to “CAT Customer”</p> <p>Corrected Section 4.2.5 – Unique Rejections Report: Updated viewing period to 91 calendar days to align with current Portal functionality</p> <p>Updated information in Section 5.1 – Viewing Rejections with clarifying notes and updated screenshot</p> <p>Updated information in Section 6 – Report to the Reference Database</p> <p>Consolidated Sections 6.1.1 and Section 6.1.2 into Section 6.1.1 – Upload Reference Data and TIDs Files</p> <p>Corrected minor typos throughout</p>

## **Overview**

The **Reference Database Reporter Portal** ("Portal") is a web-based tool that allows CAT Reporters to monitor and manage data submissions to the Reference Database. The Reference Database Reporter Portal includes end-to-end capability for providing complete and accurate data to the Reference Database, including the ability to manually enter and upload data, monitor submissions and review and correct errors.

Additionally, the Reference Database Reporter Portal provides access to reporting statistics including information on an Industry Member's submissions and error rates.

## **Questions**

Questions related to this document may be directed to the FINRA CAT Helpdesk at 888-696-3348 or at [help@finracat.com](mailto:help@finracat.com).

## Companion Resources

- Reference Database Reporting Scenarios: <https://www.catnmsplan.com/specifications/imreportingscenarios>
- Reference Database Technical Specifications for Industry Members and JSON Schemas Reference Database: <https://www.catnmsplan.com/specifications/im>
- Frequently Asked Questions: <https://www.catnmsplan.com/faq>
- Industry Member Reference Database Onboarding Guide: <https://www.catnmsplan.com/cais-registration>

## 1. Entitlement and User Roles

Prior to accessing the Reference Database Reporter Portal, an individual must have a CAT user account with an assigned user privilege that provides access to the Reference Database Reporter Portal. See the [Industry Member Reference Database Onboarding Guide](#) for additional information, including instructions for creating and maintaining a user account and descriptions of available user privileges.

## 2. Technical Requirements

The Reference Database Reporter Portal is accessible via the web using a secure, authenticated internet connection. No client software installation is required. To successfully access the Reference Database Reporter Portal, users must:

- Use TLS 1.2 requiring at a minimum NIST compliant 128-bit ciphers
- Use an HTML5-compatible browser such as Chrome, Edge or Firefox
- Have established multi-factor authentication

Failure to satisfy these requirements may result in the inability to access the Reference Database Reporter Portal.

See the [FINRA CAT Connectivity Supplement for Industry Members](#) for the available connection methods and all corresponding technical requirements.

### 3. Access Information

The following table provides the URLs for accessing each Reference Database Reporter Portal environment (Production, Production Mirror and Industry Test) for web-based users.

For information on the content and intended use of each environment, see **Section 3.1 CAT System Environments** in the [Industry Member Reference Database Onboarding Guide](#).

For information on the connectivity methods and accessing the Reference Database Reporter Portal via private line or PrivateLink, see the [FINRA CAT Connectivity Supplement for Industry Members](#).

For **web-based** users accessing the Reference Database Reporter Portal directly through an internet browser:

<b>Production</b>	<a href="https://srg.catnms.com/cais/">https://srg.catnms.com/cais/</a>
<b>Production Mirror</b>	<a href="https://srg.prodmirror.ct.catnms.com/cais/">https://srg.prodmirror.ct.catnms.com/cais/</a>
<b>Industry Test</b>	<a href="https://srg.ct.catnms.com/cais/">https://srg.ct.catnms.com/cais/</a>

For all environments, login sessions must be confirmed every 60 minutes by clicking **Yes** to continue the session when prompted.

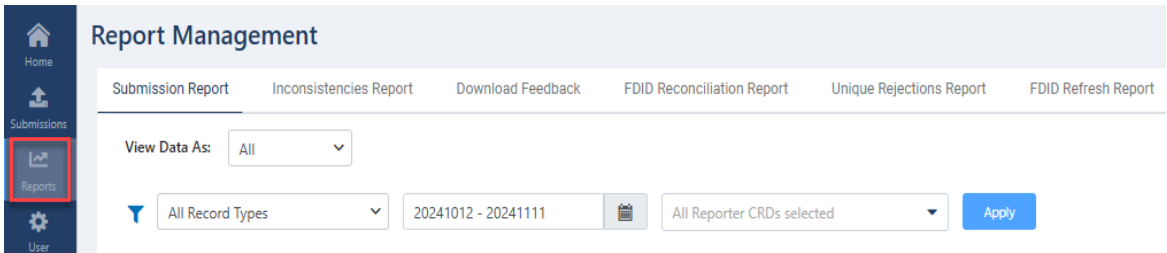
## 4. Reporting Feedback

### 4.1. Reporting Summary

The Reference Database Reporter Portal provides statistics for all data submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal.

**To view statistics available for the organization:**

- 1. Select **Reports**.



The Report Management screen provides access to the following data: Submission Report, Inconsistencies Report, Download Feedback, FDID Reconciliation Report, Unique Rejections Report and FDID Refresh Report.

### 4.2. Reporting Statistics

#### 4.2.1. Submission Report

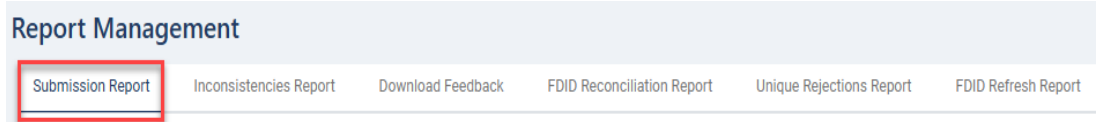
The Reference Database Reporter Portal provides a breakdown of statistics by submission file for all data submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal. A user may view submissions for the previous 90 calendar days, including the current date.

To view a submission report for the organization:

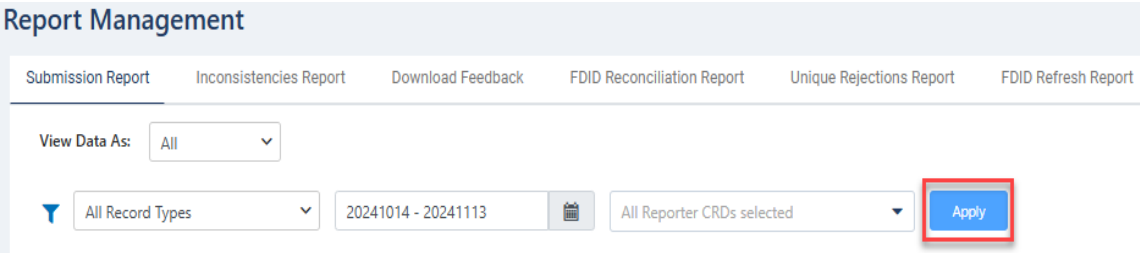
- 1. Select **Reports**.



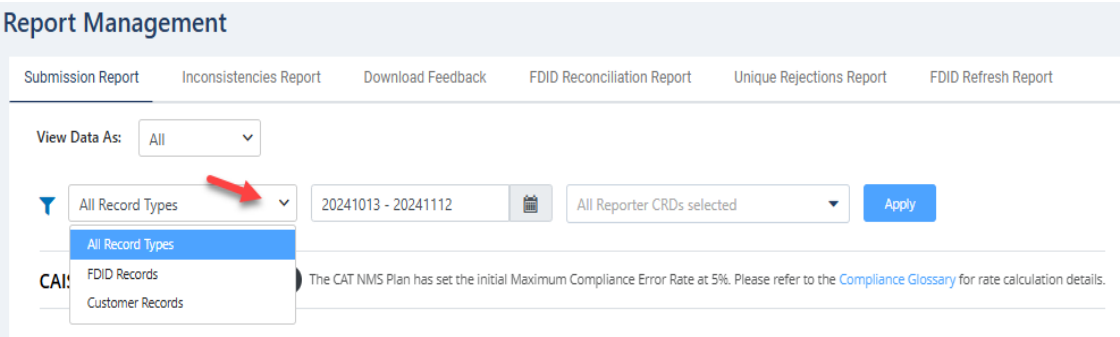
The **Submission Report** tab is displayed by default.



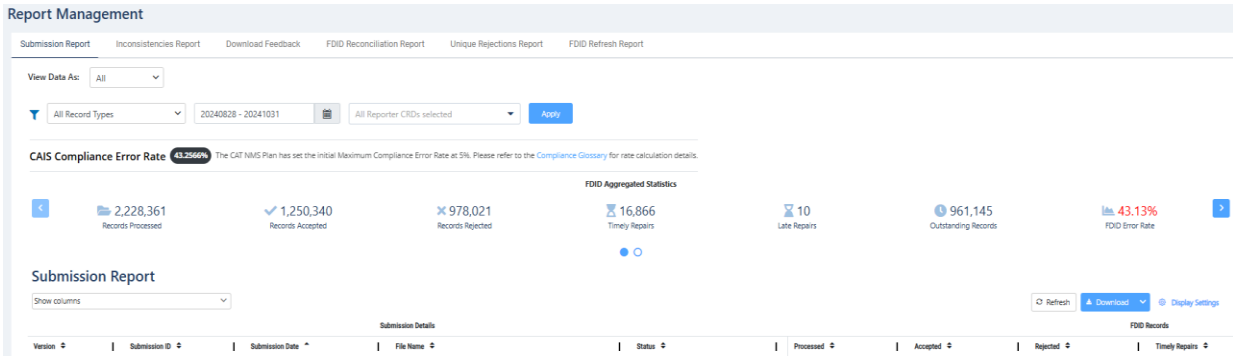
- 2. Select **Apply** to display the statistics.



- 3. Optionally, modify the display criteria. Submission statistics for both FDID and CAT Customer record types for the last 30 calendar days are selected by default. To select another date or date range, utilize the date picker and select **Apply**. To view statistics for only FDID or only CAT Customer record types, select the value from the record type dropdown.



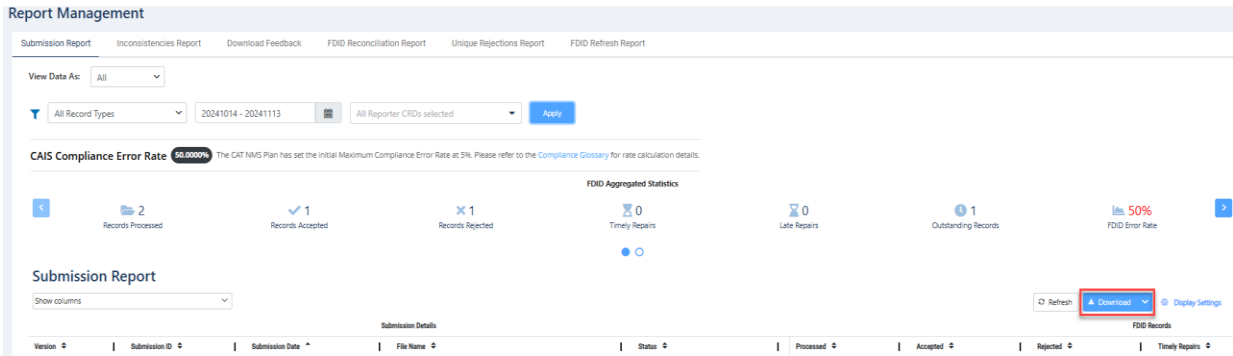
4. Review the Submission Report. Use the scrollbars at the right and bottom of the display to view all available rows and columns.



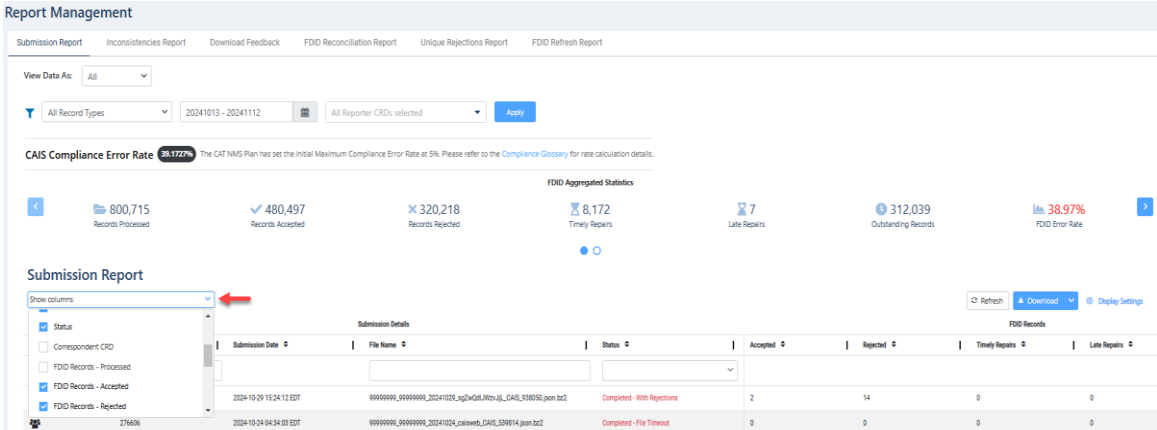
The Reference Database displays the following information for the specified display criteria:

- **Aggregated statistics** for files submitted to the Reference Database over the selected date range, including, for both FDID Records and Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, number of Timely Repairs, number of Late Repairs, number of Outstanding Records and error rates.
- **Submission metadata** for each file submitted to the Reference Database, such as Version, Submission ID, Submission Date, File Name and Status.
- **Record submission statistics** for each file submitted to the Reference Database, including for FDID Records and Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, Timely Repairs, Late Repairs and number of Outstanding Records.

5. Optionally, select the **Download** button to download the Submission Report in a CSV file.



Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.



The available options under **Show columns** include the following:

- Version - To display submissions for the Reference Database and/or LTID Phase.
- Submission Date - Date that the file was submitted by or on behalf of the Industry Member to the Reference Database.
- Reporter CRD - CRD number assigned to the Industry Member to which the data belongs.
- Submitter ID - Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- User ID - A unique account identifier associated to the user that submitted the file.
- File Name - The name of the file submitted by or on behalf of the Industry Member.
- Status - Indicates whether the file submitted with the FDID Record or Customer Record is:
  - Processing
  - Without Rejections
  - With Rejections
  - Integrity Error
  - Processing Failure
  - Cancelled by Support
  - File Timeout
- FDID Records – Processed - Indicates the total count of FDID Records processed per file.
- FDID Records – Accepted - Indicates the total count of FDID Records accepted per file.
- FDID Records – Rejected - Indicates the total count of FDID Records rejected per file.
- FDID Records – Timely Repairs - Indicates the total count of FDID Records repaired within the repair window per file.

- FDID Records – Late Repairs - Indicates the total count of FDID Records repaired after the repair window per file.
- FDID Records – Outstanding - Indicates the total count of FDID Record rejections outstanding per file.
- Customer Records – Processed - Indicates the total count of Customer Records processed per file.
- Customer Records – Accepted - Indicates the total count of Customer Records accepted per file.
- Customer Records – Rejected - Indicates the total count of Customer Records rejected per file.
- Customer Records – Timely Repairs - Indicates the total count of Customer Records repaired within the repair window per file.
- Customer Records – Late Repairs - Indicates the total count of Customer Records repaired after the repair window per file.
- Customer Records – Outstanding - Indicates the total count of Customer Record rejections outstanding per file.

Users can also filter columns by specific values.

**Submission Report**

Show columns  Refresh Download Display Settings

Submission Details

Version	Submission ID	Submission Date	File Name	Status	User ID	Submitter ID	Correspondent CRD
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	276606	2024-10-24 04:34:03 EDT	99999999_99999999_20241024_caisweb_CAIS_539814.json.bz2	Completed - File Timeout	portalimuserst9999	99999999	99999999
	276657	2024-10-24 04:34:27 EDT	99999999_99999999_20241024_caisweb_CAIS_233046.json.bz2	Completed - File Timeout	portalimuserst9999	99999999	99999999
	276582	2024-10-24 04:33:52 EDT	99999999_99999999_20241024_bbMcchZ_CAIS_686816.json.bz2	Completed - File Timeout	portalimuserst9999	99999999	283942

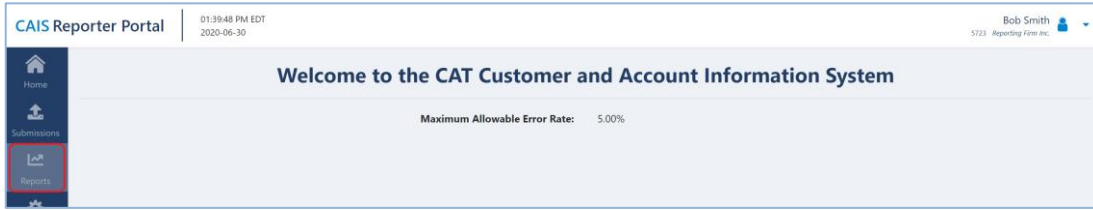
#### 4.2.2. Inconsistencies Report

The Inconsistencies Report allows the user to view both intrafirm inconsistencies and interfirm inconsistencies statistics on a daily basis. A user may view inconsistencies for the previous 90 calendar days, including the current date.

A further breakdown of inconsistencies by Customer Record may also be viewed on the Inconsistencies tab within Submission Management (see [Section 5.3](#)).

#### To view an Inconsistencies Report:

1. Select **Reports**.

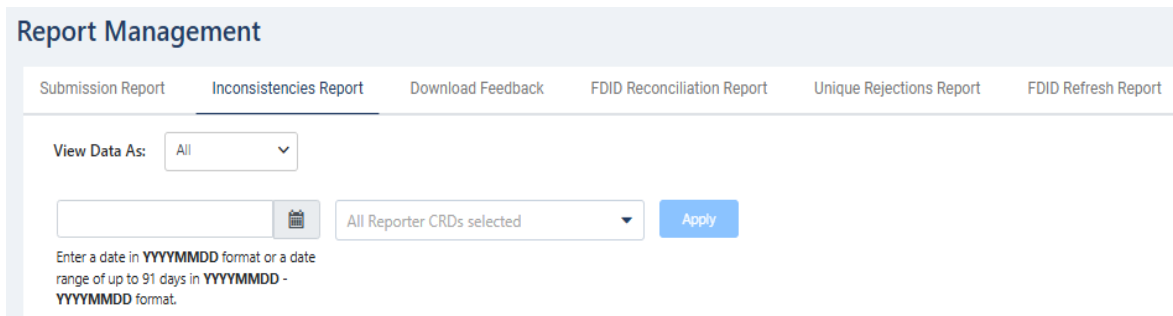


2. Select **Inconsistencies Report**.



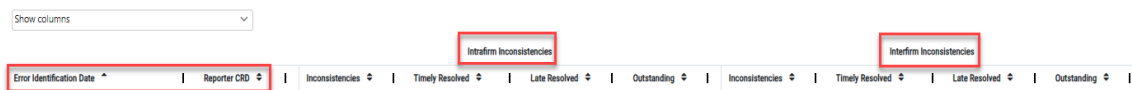
3. Select **Apply** to display the statistics.

4. Optionally, modify the display criteria. Submission statistics for both intrafirm inconsistencies and interfirm inconsistencies for the last 30 calendar days are selected by default. To select another date or date range, utilize the date picker and select **Apply**.



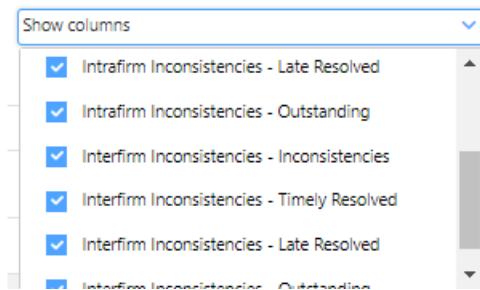
The Inconsistencies Report provides statistics by Error Identification Date and Reporter CRD. Intrafirm Inconsistencies and Interfirm Inconsistencies are displayed by default.

#### Inconsistencies Report



Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.

## Inconsistencies Report



5. The available options under the **Show columns** include the following:

- Submitter ID - Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- Correspondent CRD - CRD number of a correspondent firm.
- Intrafirm Inconsistencies – Inconsistencies - The total number of Intrafirm Inconsistencies.
- Intrafirm Inconsistencies – Timely Resolved - The number of Intrafirm Inconsistencies that were resolved prior to T+3 at 5:00 p.m. ET.
- Intrafirm Inconsistencies – Late Resolved - The number of Intrafirm Inconsistencies that were resolved after T+3 at 5:00 p.m. ET.
- Intrafirm Inconsistencies – Outstanding - The number of Intrafirm Inconsistencies for which no resolutions were attempted.
- Interfirm Inconsistencies – Inconsistencies - The total number of Interfirm Inconsistencies.
- Interfirm Inconsistencies – Timely Resolved - The number of Interfirm Inconsistencies that were resolved prior to T+3 at 5:00 p.m. ET.
- Interfirm Inconsistencies – Late Resolved - The number of Interfirm Inconsistencies that were resolved after T+3 at 5:00 p.m. ET.
- Interfirm Inconsistencies – Outstanding - The number of Interfirm Inconsistencies for which no resolutions were attempted.

Users can also filter columns by specific values.

Inconsistencies Report

Show columns Refresh Download Display Settings

Error Identification Date	Reporter CRD	Submitter ID	Correspondent CRD	Intrafirm Inconsistencies			Interfirm Inconsistencies				
				Inconsistencies	Timely Resolved	Late Resolved	Outstanding	Inconsistencies	Timely Resolved	Late Resolved	Outstanding
2024-07-13	9999999	9999999	28542	1	0	0	1	0	0	0	0
2024-07-31	9999999	9999999	28542	116	0	0	116	386	0	0	386
2024-07-10	9999999	9999999	28542	18	0	0	18	63	0	0	63

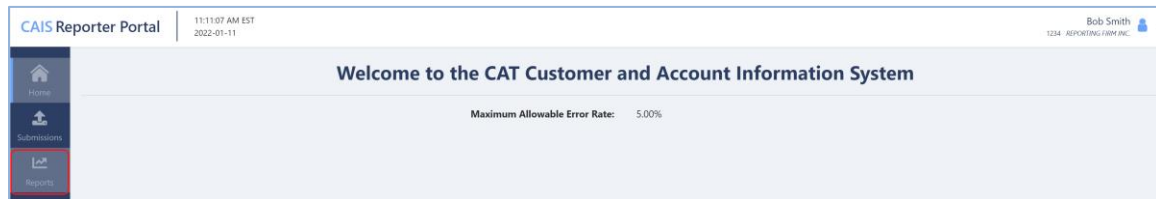
### 4.2.3. Download Feedback

The Download Feedback screen allows users to download Outstanding Material Inconsistencies Feedback and Outstanding Rejection Feedback files for an organization. Outstanding Material Inconsistencies Feedback and Outstanding Rejection Feedback files are available for 10 calendar days. The Download Feedback screen will include the following:

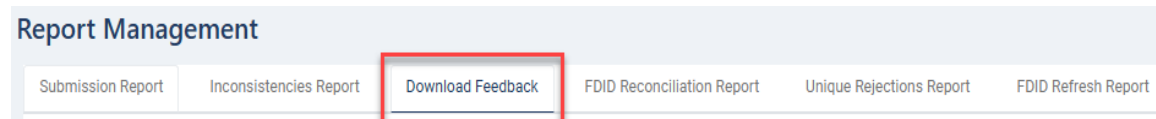
- Material Inconsistencies found during the once-daily scan as well as Material Inconsistencies that remain unresolved at the time of the daily scan (delivered in feedback consisting of a metadata file and data file set).
- Rejections identified during Data Validation that remain unrepaired at the time of the Outstanding Rejections scan (delivered in feedback consisting of a metadata file and data file set).

To view Download Feedback:

1. Select **Reports**.







2. Select **Download Feedback**. Feedback files are displayed by Processing Date.



3. To open a file, select the **Download** button.

## Report Management

Submission Report	Inconsistencies Report	Download Feedback	FDID Reconciliation Report	Unique Rejections Report
Processing Date ▾	File Name ⇅			Download
2024-09-27	99999999_99999999_20240927_OUTSTANDINGREJECTIONS_000003_meta.json			
2024-09-27	99999999_99999999_99999998_20240927_OUTSTANDINGREJECTIONS_000001_data.json.bz2			
2024-09-27	99999999_99999999_99999998_20240927_OUTSTANDINGREJECTIONS_000001_meta.json			
2024-09-27	99999999_99999999_20240927_OUTSTANDINGREJECTIONS_000004_data.json.bz2			

### 4.2.4. FDID Reconciliation Report

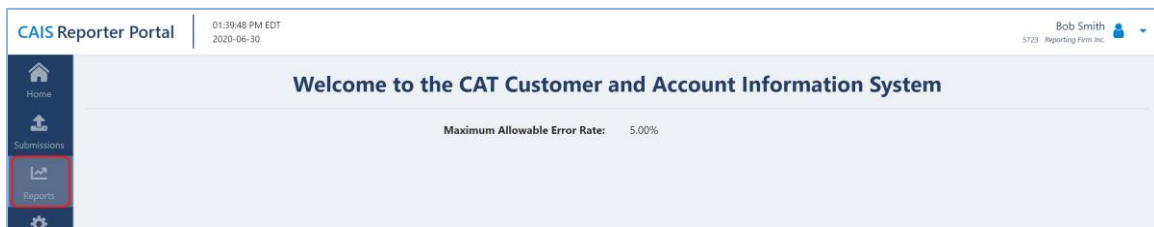
The Reference Database Reporter Portal provides a means for Industry Members and Submitters to reconcile FDID and LTID data stored in the Reference Database with their own records. Entitled users can upload a newline-delimited text file containing up to 1,000 *firmDesignatedIDs*. The Reference Database will return a Microsoft Excel-readable delimited text file containing the following details for each FDID within the file:

- A **Correspondent CRD** value, where applicable
- An **FDID status** value, which indicates whether the FDID is:
  - **Active**: The FDID does not have an End Date or End Reason value applied.
  - **Inactive**: The FDID has End Reason and End Date values applied. The End Date value is in the past.
  - **Pending Inactivation**: The FDID has End Reason and End Date values applied. The End Date value is in the future.
  - **Not Found**: The FDID has not previously been accepted by the Reference Database.
- An **Associated Customer Count**, which indicates the number of Customer Records actively associated to the FDID.
- The **Last Accepted File Name**, which indicates the name of the most recent Reference Data File containing the FDID submitted by or on behalf of the Industry Member.
- The **Version** of the Last Accepted File containing the FDID (Reference Database or LTID Phase).
- The **Last Received Date**, denoting the time and date on which the FDID Record was last accepted by the Reference Database.

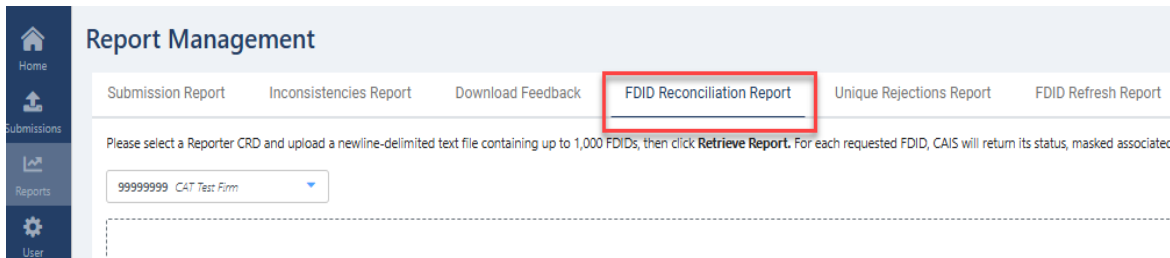
- A list of **partially masked LTIDs** which are associated to each FDID, including those that have been inactivated or are pending inactivation.
- The **LTID Status**, which indicates whether the LTID association is:
  - **Active:** The FDID-to-LTID association does not have an End Date and End Reason value applied.
  - **Inactive:** The LTID has End Reason and End Date values applied. The End Date value is in the past.
  - **Pending Inactivation:** The LTID association has End Reason and End Date applied. The End Date value is in the future.

**To obtain an FDID Reconciliation Report for the organization:**

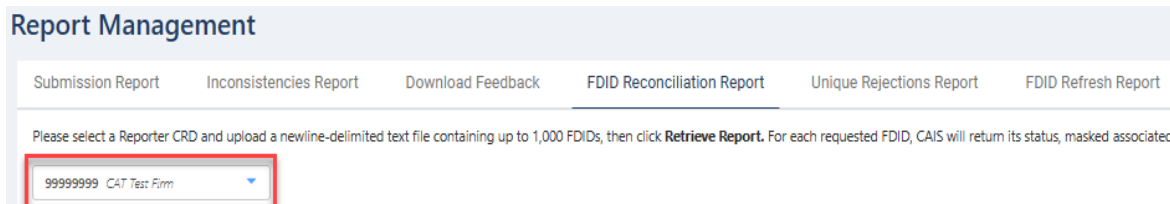
1. **Select Reports.**



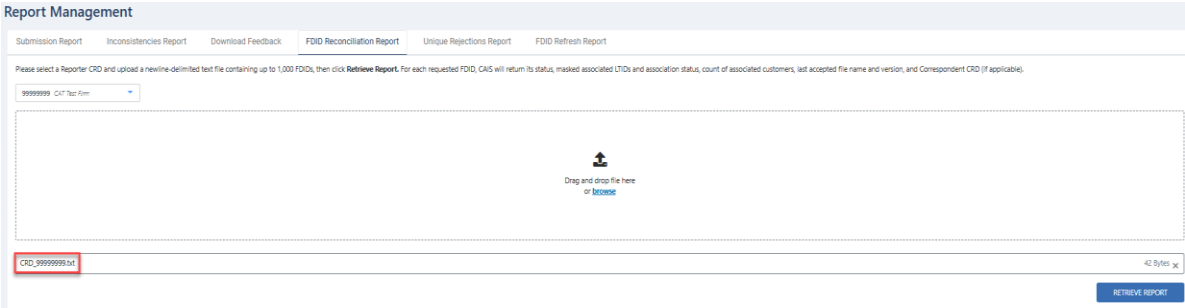
2. **Select FDID Reconciliation Report.**



3. **Select a Reporter CRD (must be currently entitled to submit data for the selected Reporter CRD).**



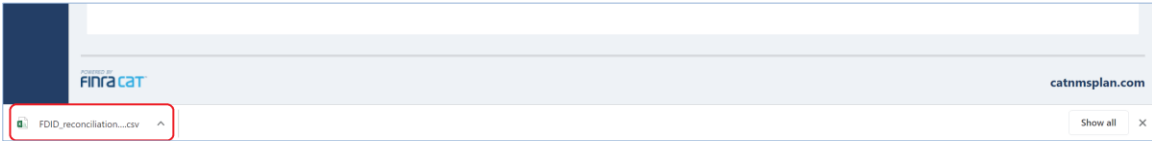
4. Upload a newline-delimited text file containing up to 1,000 FDIDs.



5. Select **Retrieve Report**.



The FDID Reconciliation Report results file will be generated and downloaded to your machine.



6. Once generated, open the file in Microsoft Excel or another compatible program.

Firm Designated ID	Correspondent CRD	FDID Status	Associated Customer Count	Last Accepted File Name	Version	Large Trader ID	LTID Status
884 fdid3 test		INACTIVE	0	99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid2 test		INACTIVE	0	99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid1 test		ACTIVE	1	99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid6 test		ACTIVE	1	99999999_99999999_20240220_corCount_CAIS_000002.json.bz2	FULL_CAIS		

**4.2.5. Unique Rejections Report**

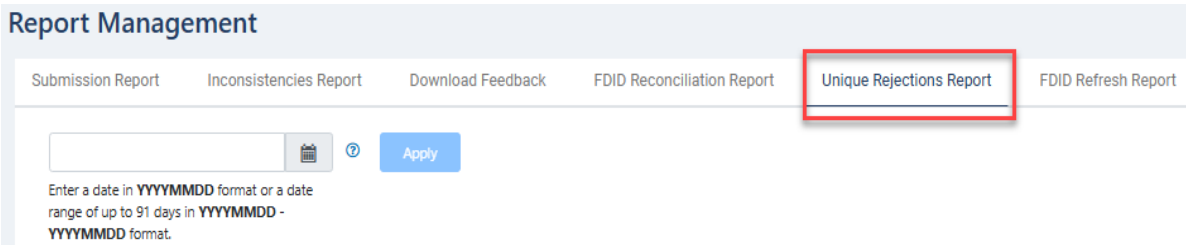
The Unique Rejections Report screen is accessible to the Reporter CRD and provides rejection statistics based on unique FDIDs and unique CAT Customers submitted to the Reference Database over time. The rejection statistics reflect outstanding rejection counts and rates for unique FDIDs and unique CAT Customers across time as of a specified date or date range. A user may view unique rejections for the previous 91 calendar days, including the current date.

**To view the Unique Rejections Report:**

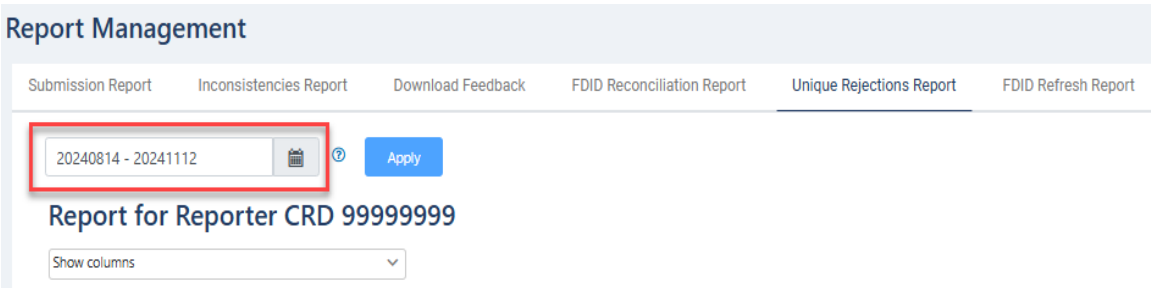
1. Select **Reports**.



2. Select **Unique Rejections Report**.



3. Enter a date or date range in this format: YYYYMMDD and select **Apply**. Dates within the last 91 days can be selected.



Users can choose which columns to display by clicking on the dropdown feature under **Show columns** menu.

## Report Management

Submission Report   Inconsistencies Report   Download Feedback   FDID Reconciliation Report   **Unique Rejections Report**   FDID Refresh Report

20240814 - 20241112



### Report for Reporter CRD 99999999

Show columns

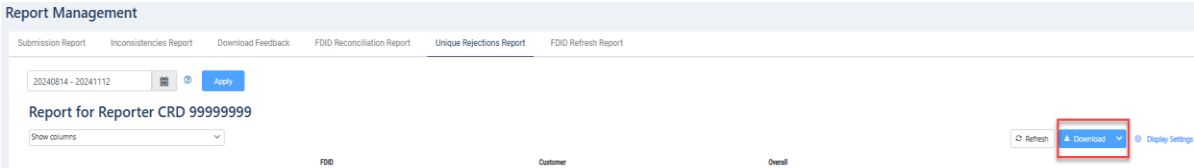
- FDID - Unique Outstanding
- FDID - Unique Total
- FDID - Outstanding Rate
- Customer - Unique Outstanding
- Customer - Unique Total
- Customer - Outstanding Rate

			FDID			Customer			Overall		
			Unique Outstanding	Unique Total	Outstanding Rate	Unique Outstanding	Unique Total	Outstanding Rate	Unique Outstanding	Unique Total	Outstanding Rate
		6881679	47414667	56.6949%	4050246	23182367	17.4712%	30931925	70597034	43.8148%	
		6881682	47414671	56.6949%	4050248	23182369	17.4712%	30931930	70597040	43.8148%	
2024-08-16	99999999	26881793	47414787	56.6949%	4050354	23182490	17.4716%	30932147	70597287	43.8149%	
2024-08-17	99999999	26881793	47414787	56.6949%	4050354	23182490	17.4716%	30932147	70597287	43.8149%	
2024-08-18	99999999	26881793	47414787	56.6949%	4050354	23182490	17.4716%	30932147	70597287	43.8149%	
2024-08-19	99999999	26881793	47414787	56.6949%	4050354	23182490	17.4716%	30932147	70597287	43.8149%	
2024-08-20	99999999	26909081	47488273	56.6647%	4067649	23229615	17.5106%	30976730	70717888	43.8032%	
2024-08-21	99999999	26946484	47570454	56.6454%	4095175	23285676	17.5867%	31041659	70856130	43.8094%	
2024-08-22	99999999	27185548	47879522	56.7791%	4257675	23497633	18.1196%	31443223	71377155	44.0522%	
2024-08-23	99999999	27225696	47972912	56.7522%	4284191	23561032	18.1834%	31509887	71533944	44.0489%	

The available options under **Show Columns** include the following:

- Reporter CRD - CRD number assigned to the Industry Member to which the data belongs.
- FDID – Unique Outstanding - Count of unique FDID Records with a rejection Status of Outstanding.
- FDID – Unique Total - Count of unique FDID Records.
- FDID – Outstanding Rate - (FDID – Unique Outstanding) divided by (FDID – Unique Total).
- Customer – Unique Outstanding - Count of unique Customer Records with a rejection Status of Outstanding.
- Customer – Unique Total - Count of unique Customer Records.
- Customer – Outstanding Rate - (Customer – Unique Outstanding) divided by (Customer – Unique Total).
- Overall – Unique Outstanding - Count of unique FDID and unique Customer Records with a rejection Status of Outstanding.
- Overall – Unique Total - Count of unique FDID and unique Customer Records.
- Overall – Outstanding Rate - (Overall – Unique Outstanding) divided by (Overall – Unique Total).

4. Optionally, select the **Download** button to download the Unique Rejections Report in a CSV file.



- CSV sample:

As of Date	Reporter CRD	FDID	Unique Outstanding	FDID Unique Total	FDID Outstanding Rate	Customer Unique Outstanding	Customer Unique Total	Customer Outstanding Rate	Overall Unique Outstanding	Overall Unique Total	Overall Outstanding Rate
8/1/2024	99999999		26809820	47248383	56.7424	4015266	23087391	17.3916	30825086	70335674	43.8257
8/2/2024	99999999		26809821	47248303	56.7424	4015267	23087411	17.3916	30825088	70335714	43.8257
8/3/2024	99999999		26837118	47321850	56.7119	4032581	23134643	17.4309	30869699	70456493	43.8138
8/4/2024	99999999		26837118	47321850	56.7119	4032581	23134643	17.4309	30869699	70456493	43.8138
8/5/2024	99999999		26854076	47340735	56.7251	4032581	23134643	17.4309	30886657	70475378	43.8262
8/6/2024	99999999		26881383	47368322	56.7497	4049908	23152116	17.4926	30931291	70520438	43.8615
8/7/2024	99999999		26881383	47414248	56.6947	4049908	23181860	17.4702	30931291	70596108	43.8144
8/8/2024	99999999		26881564	47414446	56.6949	4050088	23182055	17.4708	30931652	70596501	43.8147
8/9/2024	99999999		26881564	47414446	56.6949	4050088	23182055	17.4708	30931652	70596501	43.8147
8/10/2024	99999999		26864594	47395542	56.6817	4050088	23182055	17.4708	30914682	70577597	43.8024

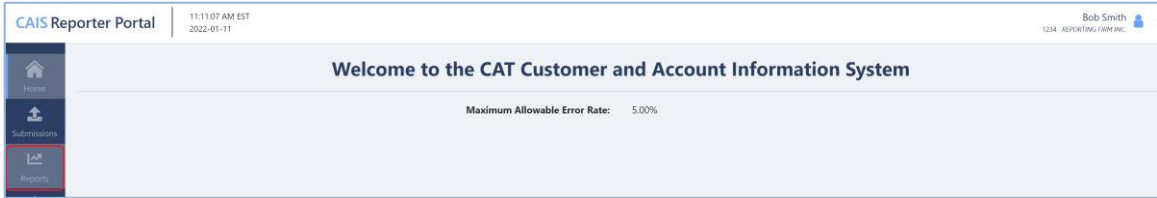
### 4.2.6. FDID Refresh Report

The FDID Refresh Report contains a list of the Industry Member’s active FDIDs that were last accepted at least 11 calendar months prior to the month of the report. FDID Refresh Reports will be delivered for compliance with the Periodic Customer & Account Information Refresh requirement on the third CAT Trading Day of the month. The monthly FDID Refresh Report file is available on the portal for 35 calendar days.

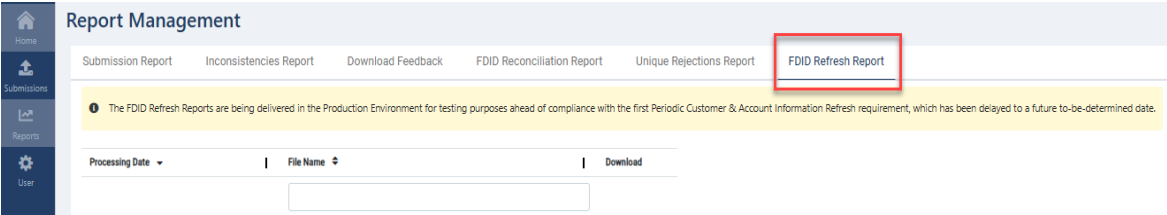
For more information on the Periodic Customer & Account Information Refresh requirement and the FDID Refresh Report see the Reference Database Technical Specifications for Industry Members.

To view the FDID Refresh Report:

1. Select **Reports**.



2. Select **FDID Refresh Report**.



3. To open a file, select the **Download** button.

The screenshot shows the 'Report Management' interface with the 'FDID Refresh Report' tab selected. A yellow notification banner at the top states: 'The FDID Refresh Reports are being delivered in the Production Environment for testing purposes ahead of compliance with the first Periodic Customer & Account Information Refresh requirement, which has been delayed to a future to-be-determined date.' Below the banner is a table with columns for 'Processing Date', 'File Name', and 'Download'. The table contains two rows of data. A red arrow points to the 'Download' button of the first row.

Processing Date	File Name	Download
2025-03-05	99999999_99999999_20250305_FDIDREFRESHREPORT_000001_data.json.bz2	
2025-03-05	99999999_99999999_20250305_FDIDREFRESHREPORT_000001_meta.json	

- The FDID Refresh Report files will include a metadata file and data file set. The data file will include details about the FDID Records requiring a refresh and the metadata file will include the count of FDID Records requiring a refresh contained within the data file.
- A set(s) of metadata file and data file will be delivered for each combination of CAT Submitter, CAT Reporter CRD and Correspondent CRD.

4. Optionally, utilize the **sort** and **filter** functionalities to locate a specific **File Name** for which an FDID Refresh Report was generated. Once the file is located, click the **Download** button in order to download the corresponding FDID Refresh Report.

The screenshot shows the 'Report Management' interface with the 'FDID Refresh Report' tab selected. A yellow notification banner at the top states: 'The FDID Refresh Reports are being delivered in the Production Environment for testing purposes ahead of compliance with the first Periodic Customer & Account Information Refresh requirement, which has been delayed to a future to-be-determined date.' Below the banner is a table with columns for 'Processing Date', 'File Name', and 'Download'. A red box highlights the 'Processing Date' and 'File Name' columns.

Processing Date	File Name	Download
2025-03-05	99999999_99999999_20250305_FDIDREFRESHREPORT_000001_data.json.bz2	
2025-03-05	99999999_99999999_20250305_FDIDREFRESHREPORT_000001_meta.json	

## 5. Rejections and Inconsistencies

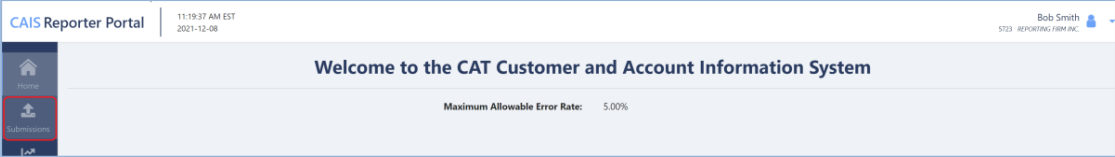
The Reference Database Reporter Portal allows users to review and manage rejected records and inconsistencies. This includes the ability to view a high-level summary, view rejection and inconsistency details and repair/resolve the errors.

### 5.1. Viewing Rejections

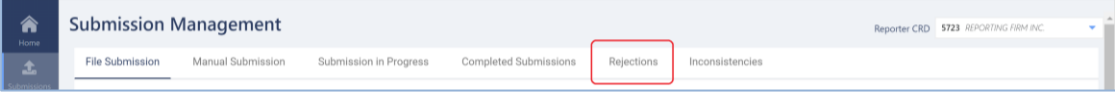
The Reference Database Reporter Portal provides a breakdown of errors by FDID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal. A user may view repaired rejections for the previous 90 calendar days, including the current date. A user may view unrepaired rejections until they are repaired.

To view record rejections for the organization:

1. Select **Submissions**.



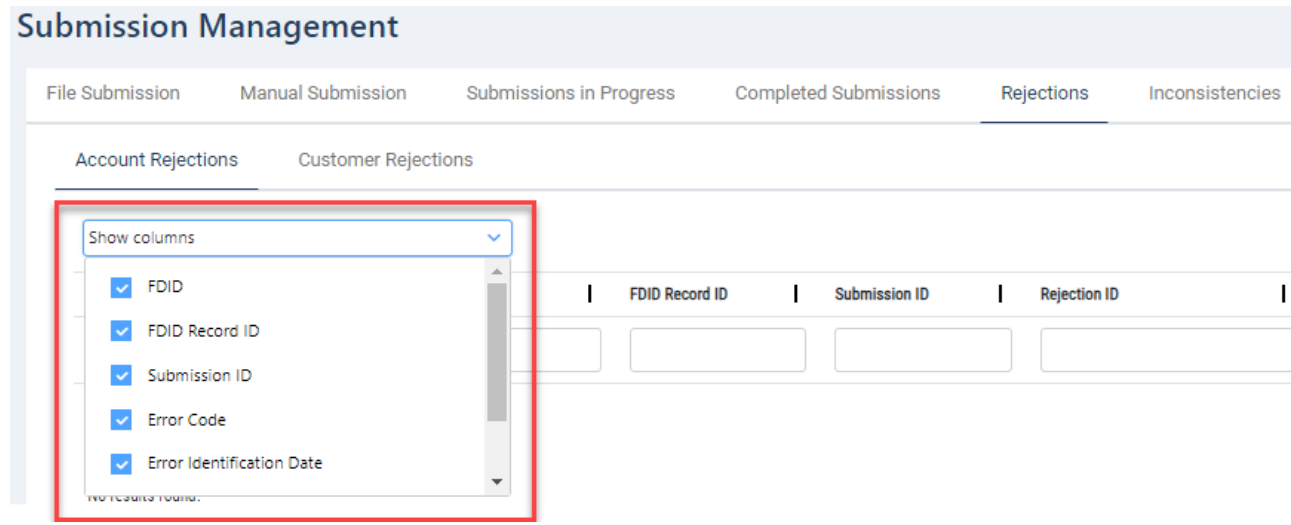
2. Select **Rejections**.



The **Account Rejections** tab is displayed by default. Rejections that are Outstanding, Late Repaired and Repaired are displayed in the table. The Account Rejections tab displays the full count of rejections by unique FDID. Each FDID may have more than one rejection. Users may access further details regarding FDID rejections by clicking the **View** icon or by selecting the **Download** button.

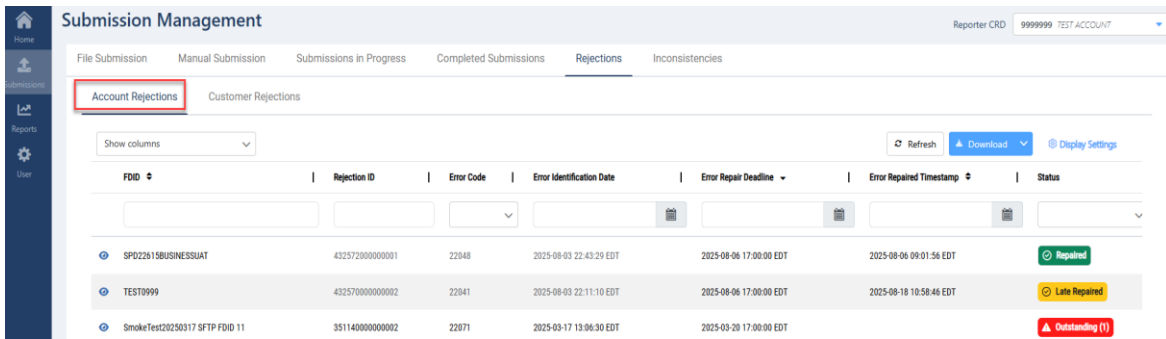


The layout for the data displayed can be modified through the dropdown feature under **Show columns**.

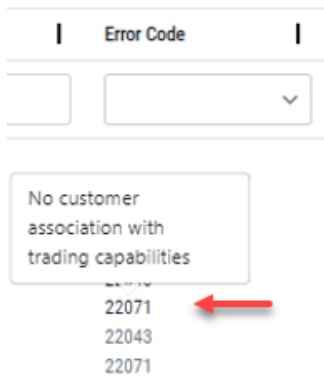


The available options under **Show columns** include the following:

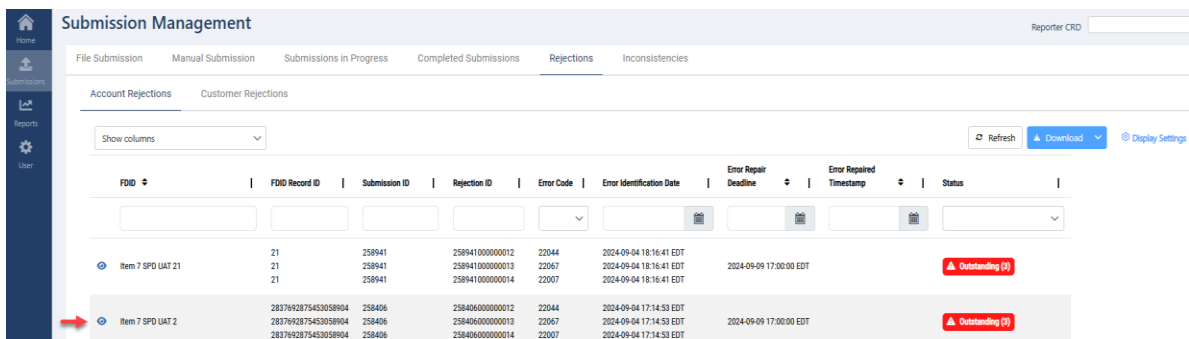
- FDID - The Firm Designated IDs that have repaired or unrepaired rejections.
- FDID Record ID -The *fdidRecordID*, as submitted to the Reference Database, having the data validation error.
- Submission ID - The unique identifier assigned to the Reference Data File by the Reference Database.
- Rejection ID - Identifier assigned by CAT to uniquely identify a rejected record. Note: the page will display a maximum of 500 rejections per FDID.
- Error Code - The error code of the data validation error.
- Error Identification Date - The date that an error was identified by the Reference Database.
- Error Repair Deadline - Deadline for repairing the rejection.
- Error Repaired Timestamp - The date and time a successful error repair was received.
- Status - Update on repairs for rejections by unique FDID that are Outstanding, Late Repaired or Repaired.
  - Rejections with an Outstanding status are marked with a red label.
    - A Status of Outstanding with a count of zero (0) indicates to a Submitter that another authorized Submitter of the CAT Reporter submitted the FDID and it was rejected. Only the CAT Reporter and the other authorized Submitter may view the details of the rejection.
  - Rejections with a Late Repaired status are marked with a yellow label.
  - Rejections with a Repaired status are marked with a green label.



3. To view error descriptions, hover over the error code value.



4. To view further details regarding each rejection, click the **View** icon.



The Rejection Details screen for FDID rejections is displayed once the View icon is selected. This window provides historical records for each error per unique FDID, tracking its status as Outstanding, Late Repaired or Repaired. The information displayed notes in particular the steps taken to repair FDID rejections overtime

by the subsequent submissions following the original submission. The status of a rejection that is assigned to the unique FDID is based on the common error repair deadline date.

The screenshot shows the 'Submission Management' interface with the 'Rejections' tab selected. A 'Return to Rejections' link is visible, and the 'Rejection Details' section is highlighted with a red box. The details include:

- CAT Reporter CRD: [Redacted]
- Firm Designated ID: Item 7 SPD UAT 2
- Error Repair Deadline: 2024-09-09 17:00:00 EDT
- Status: ▲ Outstanding

Below the details, there are sections for 'Malformed Record IDs' (No errors found) and 'Data Validation Errors'.

Rejection ID	Submitter ID	Submission ID	FDID Record ID	LTID Record ID	Error Code	Error Description	Error Identification Date	Status
258406000000012	134	258406	2837692875453058904		22044	Missing or invalid roleStartDate	2024-09-04 17:14:53 EDT	<span style="color: red;">▲ Outstanding</span>
258406000000013	134	258406	2837692875453058904		22067	roleEndDate set later than fdiEndDate	2024-09-04 17:14:53 EDT	<span style="color: red;">▲ Outstanding</span>
258406000000014	134	258406	2837692875453058904		22007	Missing or invalid format of fdiDate	2024-09-04 17:14:53 EDT	<span style="color: red;">▲ Outstanding</span>

5. To download FDID Record rejections, click the **Download** button. If filters have been applied to the download, only the FDIDs meeting the specified criteria are downloaded.

The screenshot shows the 'Submission Management' interface with the 'Rejections' tab selected. A 'Download' button is highlighted with a red box. The table below shows a list of rejections with their status:

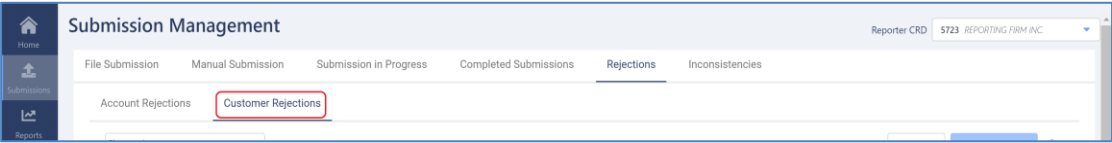
FDID	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Error Repaired Timestamp	Status
SP022619BUSINESSUAT	1	432572	4325720000000001	22048	2025-08-03 22:43:29 EDT	2025-08-06 17:00:00 EDT	2025-08-06 09:01:56 EDT	<span style="color: green;">✔ Repaired</span>
TEST0999	2000	432570	4325700000000002	22041	2025-08-03 22:11:10 EDT	2025-08-06 17:00:00 EDT	2025-08-18 10:38:46 EDT	<span style="color: orange;">⌚ Late Repaired</span>
TEST597876	1	256940	2569400000000002	22048	2024-09-04 12:39:55 EDT	2024-09-09 17:00:00 EDT	2025-08-20 21:38:48 EDT	<span style="color: orange;">⌚ Late Repaired</span>
SmokeTest20250317 SFTP FDID 11	1	351140	3511400000000002	22071	2025-03-17 13:06:38 EDT	2025-03-20 17:00:00 EDT		<span style="color: red;">▲ Outstanding (1)</span>

When downloading Account rejections, each error, Outstanding, Late Repaired or Repaired, will be broken out onto separate line items that include submissions from a historical point of view by unique FDID. The download provides a full lifecycle of rejections against the FDID. Thus, each row represents a unique

Rejection ID per FDID which includes the trailing error repair deadline date. The granularity of the data that is exported may show a higher count of rejections than what is displayed on the Account Rejections tab.

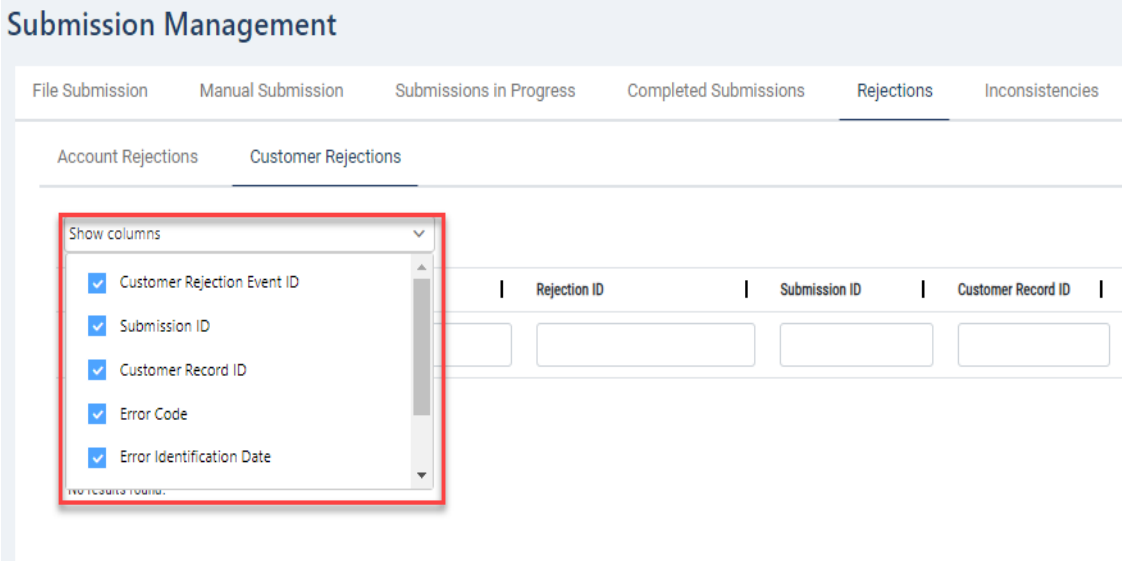
	Fdid	Fdid Record Submission ID	Rejection Id	Error Code	Error Identification Date	Error Repair Deadline	Error Repaired Timestamp	Status
2	TESTACCT732	1	13569	135690000000010	22048 2023-07-20 14:51:16 EDT	2025-08-21 17:00:00 EDT	2025-08-06 09:01:56 EDT	LATE_REPAIRED
3	TESTACCT732	1	13569	135690000000010	22048 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
4	TESTACCT732	1	13568	135680000000010	22048 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
5	TESTACCT732	1	13565	135650000000007	22007 2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
6	TESTACCT732	2	13569	135690000000009	22044 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
7	TESTACCT732	2	13568	135680000000009	22044 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
8	TESTACCT732	2	13565	135650000000008	22048 2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
9	TESTACCT732	4	13569	135690000000008	22071 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING

6. To view Customer Record rejections, click the **Customer Rejections** tab.



Outstanding, Late Repaired and Repaired rejections are displayed in the table by Customer Rejection Event ID, which is a unique identifier assigned by CAT for the CAT Customer. If the CAT Customer has multiple rejections, all rejections will be grouped by the Customer Rejection Event ID.

The layout for the data displayed can be modified through the dropdown feature under **Show columns**.

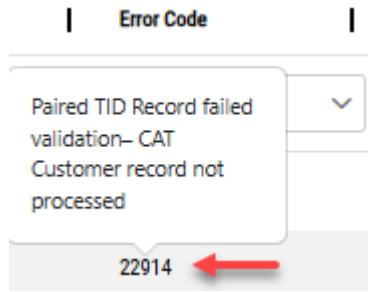


The available options under **Show Columns** include the following:

- Customer Rejection Event ID - Unique identifier assigned by CAT for the specific CAT Customer.
- Rejection ID - Identifier assigned by CAT to uniquely identify a rejected record. Note: the page will display a limit of 500 rejections per CAT Customer.
- Submission ID - The unique identifier assigned to the Reference Data File by the Reference Database.
- Customer Record ID - The *customerRecordID*, as submitted to the Reference Database, of the record having the rejection.
- Error Code - The error code of the data validation error.
- Error Identification Date - The date that an error was identified by the Reference Database.
- Error Repair Deadline - Deadline for repairing the rejection.
- Error Repaired Timestamp - The date and time a successful error repair was received.
- Status - Update on repairs for rejections by unique CAT Customer that are either Outstanding, Late Repaired or Repaired.
  - Rejections with Outstanding status are marked with a red label.
    - A Status of Outstanding with a count of zero (0) indicates to a Submitter that another authorized Submitter of the CAT Reporter submitted the FDID and it was rejected. Only the CAT Reporter and other authorized Submitter may view the details of the rejection.
  - Rejections with Late Repaired status are marked with a yellow label.
  - Rejections with Repaired status are marked with a green label.

Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	Error Repair Deadline	Error Repaired Timestamp	Status
3467987#99999999#283942#2025-07-29T17:47:45.398000+00:00	431347000000022	431347	15	22523	2025-07-29 13:49:17 EDT	2025-08-01 17:00:00 EDT	2025-08-21 15:27:40 EDT	Late Repaired
101654832#99999999#NULL#2024-01-24T01:00:51.869000+00:00	101654000000068	101654	32	22507	2024-01-23 20:02:48 EST	2024-01-26 17:00:00 EST	2025-08-18 23:05:46 EDT	Late Repaired
3482891#99999999#283942#2025-08-06T18:57:49.050000+00:00	436018000000011	436018	14,15	22523	2025-08-06 14:59:23 EDT	2025-08-11 17:00:00 EDT	2025-08-18 17:34:47 EDT	Late Repaired
RejectionID543736600000009#99999999#283942#2025-08-15T18:17:00.521000+00:00	437366000000009	437366		22501	2025-08-15 14:18:04 EDT	2025-08-20 17:00:00 EDT	2025-08-15 15:13:52 EDT	Repaired

7. To view error descriptions, hover over the error code value.



8. To view further details regarding each rejection, click the **View** icon.

Submission Management

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Account Rejections Customer Rejections

Show columns Refresh Download Display Settings

Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	Error Repair Deadline	Error Repair Timestamp	Status
		13569						
	1356000000001	13569	1,3,5	22914	2023-07-20 14:51:16 EDT			
	1356000000002	13569	1,6	22904	2023-07-20 14:51:16 EDT			
	1356000000003	13569	1,3,5	22916	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		
	1356000000004	13569	1,4	22924	2023-07-20 14:51:16 EDT			Outstanding ID
	<a href="#">Show 11 more</a>	13569	4	22920	2023-07-20 14:51:16 EDT			

Rejections stay on screen for 90 days after complete repair.

The Rejection Details screen for CAT Customer rejections is displayed once the View icon is selected. This window provides historical records for each error per Customer Rejection Event ID that remains outstanding or has been repaired. The information displayed notes in particular the steps taken to repair CAT Customer rejections overtime by the subsequent submissions following the original submission. The status of a

rejection that is assigned to the Customer Rejection Event ID is based on the common error repair deadline date.

Return to Rejections  
**Rejection Details**  
 CAT Reporter CRD  
 Customer Rejection Event ID: 1312854#134#NULL#2023-07-20T17:55:21.614000+00:00  
 Firm Designated ID  
 Error Repair Deadline: 2023-07-25 17:00:00 EDT  
 Status: **Outstanding**  
 Malformed Record IDs: No errors found  
 Data Validation Errors

Rejection ID	Submitter ID	Submission ID	Customer Record ID	Error Code	Error Description	Error Identification Date	Status
13569000000005	134	13569	1,3,4,6	22533	Multiple instances of customer with differing data	2023-07-20 14:51:16 EDT	Outstanding
13569000000004	134	13569	4	22520	Missing or Invalid countryCode	2023-07-20 14:51:16 EDT	Outstanding
13569000000003	134	13569	1,4	22524	Missing or Invalid customerType	2023-07-20 14:51:16 EDT	Outstanding
13569000000002	134	13569	1,3,6	22516	Missing or invalid addType	2023-07-20 14:51:16 EDT	Outstanding
13569000000001	134	13569	1,6	22504	Missing or Invalid format of ein	2023-07-20 14:51:16 EDT	Outstanding
13569000000000	134	13569	1,3,6	22514	Missing ADDRESS1 type Address Record	2023-07-20 14:51:16 EDT	Outstanding
13568000000005	134	13568	1,3,4,6	22533	Multiple instances of customer with differing data	2023-07-20 14:32:14 EDT	Repaired
13568000000004	134	13568	1	22524	Missing or Invalid customerType	2023-07-20 14:32:14 EDT	Repaired
13568000000003	134	13568	4	22520	Missing or Invalid countryCode	2023-07-20 14:32:14 EDT	Repaired

9. To download Customer Record rejections, click the **Download** button. If filters have been applied to the download, only the Customer Records meeting the specified criteria are exported.

Submission Management  
 Account Rejections Customer Rejections  
 Show columns: Refresh Download Display Settings  
 Customer Rejection Event ID: [Filter]  
 Rejection ID: [Filter] Submission ID: [Filter] Customer Record ID: [Filter] Error Code: [Filter] Error Identification Date: [Filter] Error Repair Deadline: [Filter] Status: [Filter]

Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	Error Repair Deadline	Status
1312854#134#NULL#2023-07-20T17:55:21.614000+00:00	13569000000005	13569	1,3,4,6	22533	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	Outstanding (1)
	13569000000004	13569	4	22520	2023-07-20 14:51:16 EDT		
	13569000000003	13569	1,4	22524	2023-07-20 14:51:16 EDT		
	13569000000002	13569	1,3,6	22516	2023-07-20 14:51:16 EDT		
	13569000000001	13569	1,6	22504	2023-07-20 14:51:16 EDT		
1312854#134#NULL#2023-07-20T17:55:21.614000+00:00	13568000000005	13568	1,3,4,6	22533	2023-07-20 14:32:14 EDT	2023-07-20 17:00:00 EDT	Outstanding (1)
	13568000000004	13568	1	22524	2023-07-20 14:32:14 EDT		

When downloading CAT Customer rejections, each error, Outstanding, Late Repaired or Repaired, will be broken out onto separate line items that include submissions from a historical point of view by Customer Rejection Event ID. The download provides a full lifecycle of rejections against the unique CAT Customer. Thus, each row represents a unique Rejection ID per CAT Customer which includes the trailing error repair deadline date. The granularity of the data that is exported may show a higher count of rejections than what is displayed on the Customer Rejections tab.

Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record	Error Code	Error Identification Date	Error Repair Deadline	Error Repaired Timestamp	Status
131288##134#NULL#2023-07-20T17:55:21.6	13569000000005	13569	[1, 3, 4, 6]	22533	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
131288##134#NULL#2023-07-20T17:55:21.6	13569000000004	13569	[4]	22520	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
131288##134#NULL#2023-07-20T17:55:21.6	13569000000003	13569	[1, 4]	22524	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
131288##134#NULL#2023-07-20T17:55:21.6	13569000000002	13569	[1, 3, 6]	22516	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
131288##134#NULL#2023-07-20T17:55:21.6	13569000000001	13569	[1, 6]	22504	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
131288##134#NULL#2023-07-20T17:55:21.6	13569000000000	13569	[1, 3, 6]	22514	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
131288##134#NULL#2023-07-20T17:55:21.6	13568000000005	13568	[1, 3, 4, 6]	22533	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13568000000004	13568	[1]	22524	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13568000000003	13568	[4]	22520	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13568000000002	13568	[6]	22516	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13568000000001	13568	[6]	22504	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13568000000000	13568	[6]	22514	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13565000000004	13565	[6]	22529	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13565000000003	13565	[1]	22516	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13565000000002	13565	[1]	22514	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13565000000001	13565	[3]	22521	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
131288##134#NULL#2023-07-20T17:55:21.6	13565000000000	13565	[4]	22524	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED

### 5.2. Rejection Repair

The Reference Database Reporter Portal provides entitled users with the ability to repair rejected records submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Portal. Repairs may be made through file posting to the SFTP, file upload within the Reference Database Reporter Portal (see Section 6.1) or manual submission within the Reference Database Reporter Portal (see Section 6.2).

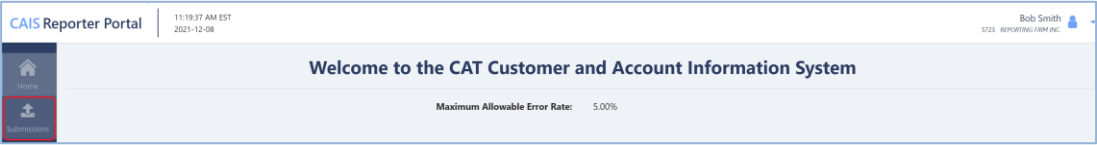
Because data submitted to the Reference Database Reporter Portal cannot be returned to the Industry Member submitting the data, rejection repair via manual submission requires resubmitting the FDID Record in its current state (with all LTID and CAT Customer associations), with corrected data.

### 5.3. Viewing Inconsistencies

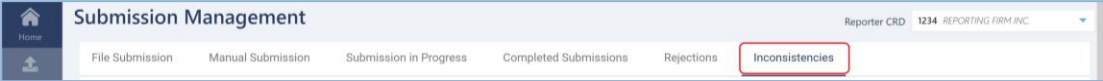
The Reference Database Reporter Portal provides a breakdown of inconsistencies by Inconsistency Event ID for all data submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal.

**To view Customer Record inconsistencies for the organization:**

1. Select **Submissions**.



2. Select **Inconsistencies**.



A table of Inconsistencies is displayed. The default view will reflect a Status of either Outstanding or



- INTERFIRM - An inconsistency was identified across submission files of multiple Industry Members.
- Identification Date - Date the Inconsistency was identified.
- Repair Deadline - Deadline for resolving the Inconsistency.
- Status - Update on resolution for Inconsistencies that are either Outstanding or Resolved.

Submission Management

Reporter CRD: [dropdown]

File Submission | Manual Submission | Submissions in Progress | Completed Submissions | Rejections | **Inconsistencies**

Show columns [dropdown] [Download Feedback] [Refresh] [Download] [Display Settings]

Event ID	Submission Date	Customer Record ID	Inconsistency Code	Identification Date	Repair Deadline	Status	Type	Last Accepted File Name
9937883#134#NULL#2024-01-23#40004	2024-01-22 13:25:10 EST	2	40004	2024-01-23 13:43:31 EST	2024-01-25 17:00:00 EST	Outstanding	INTERFIRM	_20240122_CustType2nd_CASE_000003.json.bz2
9934558#134#NULL#2024-01-24#30004	2024-01-23 09:22:52 EST	2	30004	2024-01-24 10:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTRAFIRM	_20240123_CustType2nd_CASE_000012.json.bz2
14874540#134#999999999#2024-01-24#40002	2024-01-23 18:21:00 EST	40	40002	2024-01-24 10:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTERFIRM	20240123_Inner10Bfirm_CASE_000004.json.bz2

3. To view inconsistency descriptions, hover over the inconsistency code value.

Submission Management

Reporter CRD: [dropdown]

File Submission | Manual Submission | Submissions in Progress | Completed Submissions | Rejections | **Inconsistencies**

Show columns [dropdown] [Download Feedback] [Refresh] [Download] [Display Settings]

Event ID	Submission Date	Customer Record ID	Inconsistency Code	Identification Date	Repair Deadline	Status	Type	Last Accepted File Name
9937883#134#NULL#2024-01-23#40004	2024-01-22 13:25:10 EST	2	Foreign 10 reported as both Natural Person and legal Entity within the industry Member	2024-01-23 13:43:31 EST	2024-01-25 17:00:00 EST	Submitting	INTERFIRM	20240122_CustType2nd_CASE_000003.json.bz2
9934558#134#NULL#2024-01-24#30004	2024-01-23 09:22:52 EST	2	30004	2024-01-24 10:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTRAFIRM	20240123_CustType2nd_CASE_000012.json.bz2

Optionally, users can retrieve Outstanding Material Inconsistency Feedback Files directly from the Download Feedback tab.

Submission Management

Reporter CRD: 134 CA10R #7259AL2 # 00

File Submission | Manual Submission | Submissions in Progress | Completed Submissions | Rejections | **Inconsistencies**

Show columns [dropdown] [Download Feedback] [Refresh] [Download] [Display Settings]

Event ID	Last Accepted File Name	Submission Date	Customer Record ID	Inconsistency Code	Identification Date	Repair Deadline	Status
[input]	[input]	[input]	[input]	[input]	[input]	[input]	[input]

### 5.4. Material Inconsistency Resolution

The Reference Database Reporter Portal provides entitled users with the ability to resolve Inconsistencies submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Portal. Resolutions may be made through file posting to the SFTP, file upload within the Reference Database Reporter Portal (see Section 6.1) or manual submission within the Reference Database Reporter Portal (see Section 6.2).

Because data submitted to the Reference Database Reporter Portal cannot be returned to the Industry Member submitting the data, inconsistency resolution via manual submission requires resubmitting the FDID Record in its current state (with all LTID and CAT Customer associations), with the Update Notification field populated with 'Yes'. See [Section 6.2](#) for more information.

## 6. Report to the Reference Database

Note: All names, addresses and identifiers data used for examples in the Reference Data 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 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 Reference Database.

### 6.1. Upload Data to the Reference Database

Files uploaded to CAT via the Reference Database Reporter Portal are processed in three distinct phases:

#### 1. File Acknowledgment

Prior to uploading files via the Reference Database Reporter Portal, the Reference Database validates the file requirements:

- Maximum of 5 file pairs per submission.
- Reference Data Files must be uploaded with their corresponding Identifiers (TIDs) Files.
- Individual files are limited to a maximum uncompressed size of 1GB.
- Files must be in .json format.
- Files must be compressed using BZip2.
- Filenames must use the following format:  
<CAT Submitter ID>\_<CAT Reporter CRD>\_<File Generation Date>\_ [<Group>\_] <File Kind>\_<File Number>.<Format Extension>.<Compression Extension>

Failure to meet the specified requirements prevents the user from uploading the file via the Reference Database Reporter Portal. Once a file is successfully uploaded, the file is processed through the File Integrity and Data Ingestion stages, with feedback being provided via the Reference Database Reporter Portal at each stage. See [Section 6.4](#) below for details on retrieving feedback via the Reference Database Reporter Portal.

#### 2. File Integrity

After the file has been uploaded via the Reference Database Reporter Portal, the Reference Database performs additional file-level validations. Failure to meet specified requirements results in

the rejection of the file. See **Appendix B** in the Reference Database Technical Specifications for Industry Members for a comprehensive list of file integrity validations.

### 3. Data Ingestion

For each file that passes file integrity validations, the Reference Database performs record-level validations. Failure to meet the specified requirements results in the rejection of the record. See **Appendix B** in the Reference Database Technical Specifications for Industry Members for a comprehensive list of data ingestion validations.

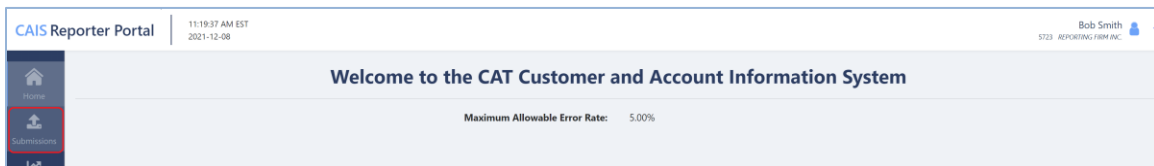
#### 6.1.1. Upload Reference Data and TIDs Files

Entitled users may provide Customer and FDID Reference Data via the Reference Database Reporter Portal by manually uploading Reference Data and Transformed Identifiers (“TIDs”) files. The following information provides details on how to upload and submit files via the Reference Database Reporter Portal. For details on the expected format and content of the files, see the Reference Database Technical Specifications for Industry Members.

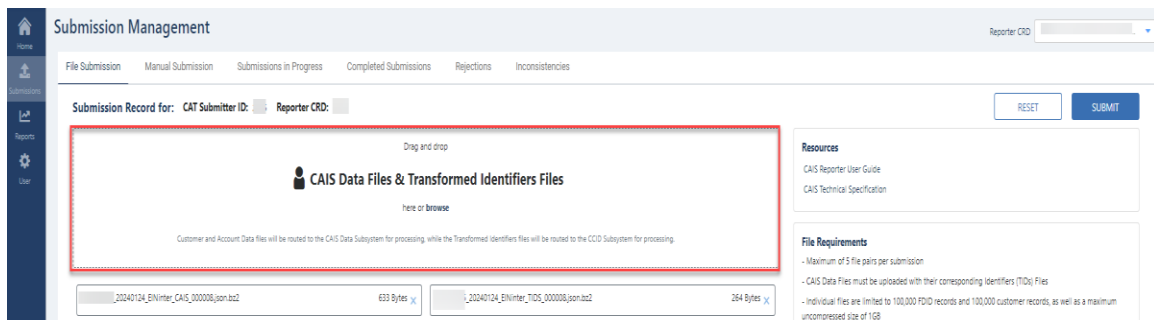
A single submission may not exceed five paired file sets or 1GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To upload one or more Reference Data and TIDs file sets:

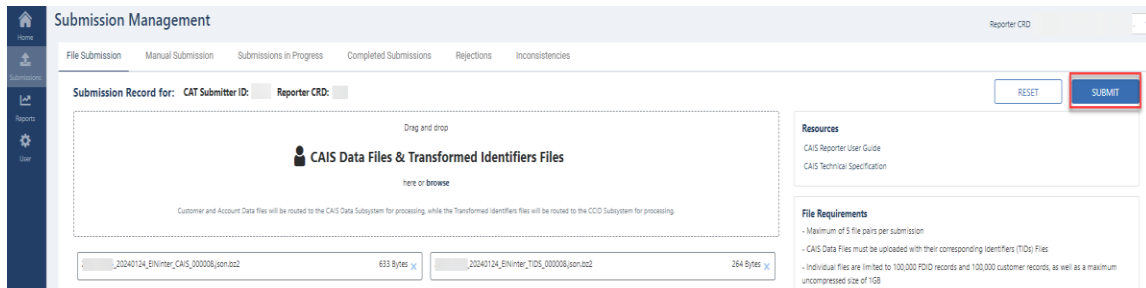
1. Select **Submissions**. The File Submission tab is displayed by default.



2. Drag-and-drop or use the browse functionality to select the desired file set(s).



- When all desired file sets have been selected, or when the upload limit has been reached, click **Submit**.



Once the files are successfully uploaded to the separate subsystems, each file goes through file integrity validation and data validation. Users may access any feedback via the Download Submission Feedback Files functionality (see [Section 6.4](#)).

## 6.2. Manually Report Data to the Reference Database

Entitled users may provide Customer and FDID Reference Data via the Reference Database Reporter Portal by manually reporting individual FDID, CAT Customer and LTID records. The following information provides details on how to manually submit data to the Reference Database via the Reference Database Reporter Portal.

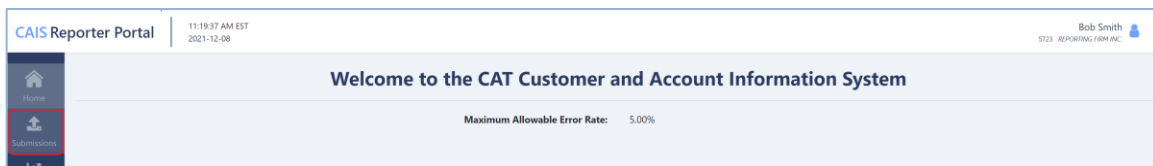
Manual Submission includes the following:

- Entering data for the FDID Record.
- Adding one or more LTID/ULTID associations, if applicable.
- Adding one or more CAT Customer associations.
- Entering Correction Action Records for rejection repair, if applicable.

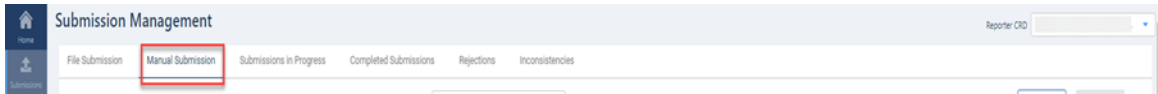
For more information on the reporting requirements for FDID, CAT Customer and LTID records, see the Reference Database Technical Specifications for Industry Members.

To **manually submit** records:

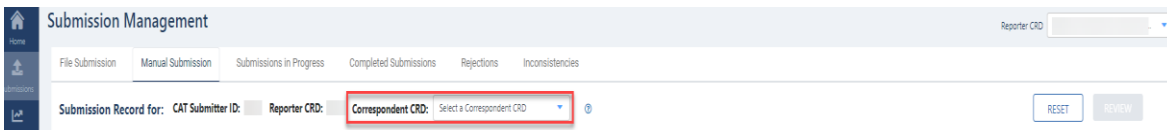
1. Select **Submissions**.



2. Select **Manual Submission**.



- If applicable, select a **Correspondent CRD**. The Correspondent CRD selected is applied to all FDID and Customer records within the manual submission set. It must only be selected by clearing firms with introducing brokers or correspondents and only when reporting Accounts to the Reference Database that are custodied for their introducing brokers/correspondents, including DVP/RVP accounts. The Correspondent CRD value must be a different identifier than the Reporter CRD. For Accounts which are not correspondent Accounts, Correspondent CRD must not be selected. Introducing brokers or correspondents submitting for themselves must not populate the Correspondent CRD.



### To submit an **FDID** Record:

1. Enter a value for each applicable field in the **FDID Record** section. Fields marked with an asterisk (\*) are required.

**FDID Record**

<p><b>* Firm Designated ID:</b>  <input type="text" value="Enter up to 40 characters"/> ?</p> <p><b>* FDID Type:</b>  <input type="text" value="Select"/> ?</p> <p><b>* Account Type:</b>  <input type="text" value="Select one or more"/> ?</p> <p><b>* Account Name:</b>  <input type="text" value="Enter up to 200 characters"/> ?</p> <p><b>* FDID Date:</b>  <input type="text" value="YYYYMMDD"/> ?</p>	<p><b>DVP Custodian ID:</b>  <input type="text" value="Enter one or more"/> ?</p> <p><b>Clearing Broker ID:</b>  <input type="text" value="Enter one or more"/> ?</p> <p><b>Branch Office CRD:</b>  <input type="text" value="Enter one"/> ?</p> <p><b>Registered Representative CRD:</b>  <input type="text" value="Enter one or more"/> ?</p> <p><b>FDID End Date:</b>  <input type="text" value="YYYYMMDD"/> ?</p> <p><b>FDID End Reason:</b>  <input type="text" value="Select an End Date"/> ?</p> <p><b>Received from another firm?</b>  <input type="checkbox"/> Yes ?</p>
---	---

- a. **Firm Designated ID:** Enter the Firm Designated ID associated with the Account, Relationship or Entity ID.
- b. **FDID Type:** Select either Account, Relationship or Entity ID, depending on the Firm Designated ID type.
- c. **Account Type:** Select one or more Account Type values(s) for the FDID.

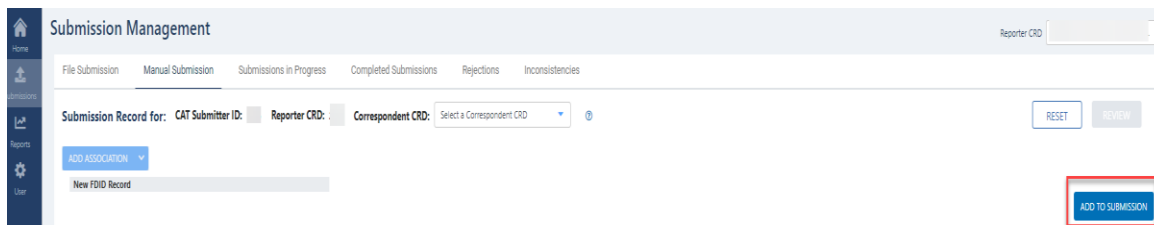
- d. **Account Name:** Enter up to 200 characters for the FDID's Account Name.
- e. **FDID Date:** Enter the date on which the account was opened, or the Account Effective Date, as defined in Section 1.1 of the CAT NMS Plan.
- f. **DVP Custodian ID:** If applicable, enter one or more DVP Custodian ID(s) for the FDID separated by commas.
- g. **Clearing Broker ID:** If applicable, enter one or more Clearing Broker ID(s) for the FDID separated by commas.
- h. **Branch Office CRD:** If applicable, enter the Branch Office CRD number for the FDID's branch office, if different than the main office.
- i. **Registered Representative CRD:** Optionally enter one or more CRD numbers for the Registered Representative(s) for the FDID separated by commas.
- j. **FDID End Date:** If applicable, enter the date on which the account or relationship was ended. This field is required if there is an End Reason applied.
- k. **FDID End Reason:** If applicable, select the reason for which the Account or Relationship was ended. This field is required if there is an End Date applied.
- l. **Replaced By FDID:** If "Replaced" is selected as the End Reason, enter the FDID which is replacing the FDID in question.
- m. **Received from another firm?:** Check this box if the FDID is being transferred to your firm via the Mass Transfer Process. When selected, also provide:
  - o **Prior CAT Reporter CRD:** Enter the CRD from which the FDID was transferred.
  - o **Prior CAT Reporter FDID:** Enter the FDID by which the account was known at the Transferring Industry Member (Prior CAT Reporter CRD).

2. Enter a value for each applicable field in the **Address** section. Up to four total Address Records may be provided for the FDID.

3. If applicable, click **Add Authorized Trader Names List**. For the limited circumstances when this is applicable, see the **Special Rules Regarding Natural Person Authorized Traders** section in the Reference Database Technical Specifications for Industry Members.



4. Click **Add to Submission**.

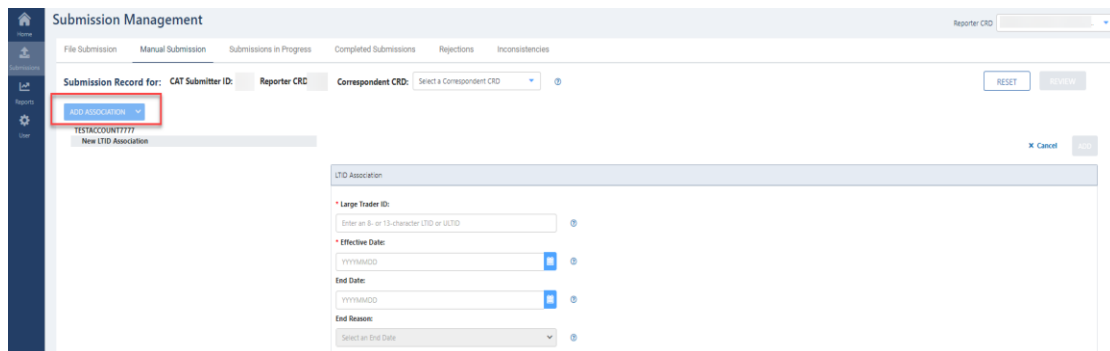


5. To add a new **LTID/ULTID** association to the submission:

5.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

5.2. Select **Large Trader ID** from the dropdown.

5.3. Enter a value for each applicable field in the **LTID Association** section.



- a. **Large Trader ID:** Enter the Large Trader ID/Unidentified Large Trader ID associated with the FDID.
- b. **Effective Date:** Enter the date on which the LTID/ULTID became associated to the FDID within the Industry Member's system.
- c. **End Date:** If applicable, enter the date on which the association was ended. This field is required if there is an End Reason applied.

- d. **End Reason:** If applicable, select the reason for which the association was ended. This field is required if there is an End Date applied.

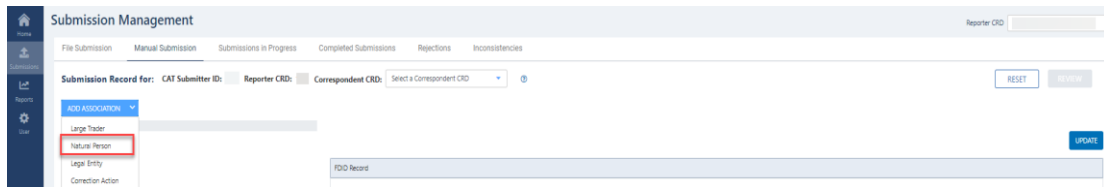
5.4. Once the appropriate fields have been populated for the LTID/ULTID, click the **Add** button to add the data to the submission file.

- If one or more additional LTIDs/ULTIDs need to be added, repeat the above process for each LTID/ULTID association.
- If this association needs to be modified after this step, click the LTID in the FDID Record Associations section, then make the appropriate modifications.
- If this association needs to be removed after this step, click the LTID in the FDID Record Associations section, then click the **Remove** button.

6. To add a **Natural Person CAT Customer** record to the submission:

6.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

6.2. Select **Natural Person** from the dropdown.



6.3. Enter a value for each applicable field in the **Customer Association** section.

 A screenshot of the 'Customer Association (Natural Person)' form. The form contains the following fields:
 

- Customer Record ID:** A text input field containing the value '1'.
- Role:** A dropdown menu with 'AUTHREP' selected.
- Has Discretion:** Radio buttons for 'Yes' (selected) and 'No'.
- Role Start Date:** A date input field containing '20220112'.
- Role End Date:** A date input field containing 'YYYYMMDD'.
- Role End Reason:** A dropdown menu with 'Select an End Date' selected.

- Customer Record ID:** A default Customer Record ID is automatically provided for each CAT Customer association or enter a unique Customer Record ID value for the associated Customer Record.
- Role:** Select one Role value for the associated Customer Record.
- Has Discretion:** If required due to the Role being "AUTHREP" or "AUTH3RD", select either 'Yes' or 'No' to indicate whether the associated customer has trading discretion as defined in

the Reference Database Technical Specifications for Industry Members.

- d. **Role Start Date:** Enter a value in the format of *YYYYMMDD* or select a date using the date picker.
- e. **Role End Date:** If reporting a CAT Customer association that has been ended, enter a value in the format of *YYYYMMDD* or select a date using the date picker.
- f. **Role End Reason:** If reporting a CAT Customer association that has been ended, select one End Reason value.

6.4. Enter a value for each applicable field in the **Customer Record** section.

The screenshot shows a form titled "Customer Record" with the following fields and values:

- \* First name:** Text input containing "John".
- Middle name:** Text input with placeholder "Enter up to 20 characters".
- \* Last name:** Text input containing "Smith".
- Suffix:** Dropdown menu with "Select" and a close button (x).
- Doing Business As:** Text input with placeholder "Enter up to 200 characters".
- \* Customer Type:** Dropdown menu with "CP" and "EMPLOYEE" options, and a help icon (?).
- \* Year of Birth:** Text input containing "1984".
- Update Notification:** Check box labeled "Yes" with a help icon (?).

- a. **First Name:** Enter the First Name known for the Customer Record.
- b. **Middle Name:** Optionally enter the Middle Name or Initial known for the Customer Record.
- c. **Last Name:** Enter the Last Name known for the Customer Record.
- d. **Suffix:** Optionally enter the Suffix known for the Customer Record.
- e. **Doing Business As:** If applicable, enter the Doing Business As name for a Customer Record that is a sole proprietorship or trust or otherwise conducts business under a name other than the Natural Person's legal name.
- f. **Customer Type:** Select one or more Customer Type values from the list.
- g. **Year of Birth:** Enter a numeric value in the format *YYYY*.
- h. **Update Notification:** If applying an Update Notification to prevent or resolve a material inconsistency, check this box to set *updateNotification* to 'true'.

6.5. In the **Transformed Identifier** section, provide the Transformed Identifier value by either:

- Entering a pre-hashed TID value and selecting the **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable).

Transformed Identifier

\* Transformed Identifier: \*

5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2 Generate

\* TID Type: \*

FOREIGN

SSN/ITIN

This TID has been replaced by a new TID. ?

OR

- Generating a TID value. To generate a TID, click **Generate** and select a **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Enter the **Input Identifier**, then click the **GENERATE** button.

Transformed Identifier Generation ×

Fill out the fields below and click **Generate** to generate your customer's **Transformed Identifier**. **Input identifiers are not stored by CAIS.**

\* TID Type:

SSN/ITIN

FOREIGN

\* Input Identifier:

999-99-9999

This TID has been replaced by a new TID. ?

CANCEL GENERATE

Transformed Identifier

\* Transformed Identifier: \*

5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2 Generate

\* TID Type: \*

FOREIGN

SSN/ITIN

This TID has been replaced by a new TID. ?

Users are then returned to the Customer Record page where the generated Transformed Identifiers value has been populated in the Transformed Identifier field.

If an Industry Member must update the Transformed Identifier that was previously reported to the Reference Database because the CAT Customer's Input Identifier was legally changed or the Industry Member has obtained a different Input Identifier that replaces the current Input Identifier, provide the updated Transformed Identifier by either:

- Entering the pre-hashed **Transformed Identifier** and **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable) that was previously reported to the Reference Database. Then select "**This TID has been replaced by a new TID**". Next, enter the pre-hashed **Replaced by TID** value and select the **Replacing TID Type** (and **Replacing Foreign TID Type** and **Replacing Country Code**, if applicable).

**Transformed Identifier**

\* **Transformed Identifier:**

ff68a6ca8d04188ae7c0368cc52b908a2e12b1c95d5708b3699c6a83b7e24018 Generate

\* **TID Type:**

FOREIGN  
 SSN/ITIN

\* **Foreign TID Type:**

PASSPORT

\* **TID Country Code:**

Canada (CA)

This TID has been replaced by a new TID.

\* **Replaced by TID:**

22ed0a9add2445b711c6a4d1c2fd196204c3ec9a77e9473b7789e2c5394ceac Generate

\* **Replacing TID Type:**

FOREIGN  
 SSN/ITIN

OR

- Generating the **Transformed Identifier** and **Replaced by TID**. Click **Generate** in the **Transformed Identifier** section. The **Transformed Identifier Generation** window will appear. Select the **TID Type** and enter the **Input Identifier** (and **Foreign TID Type** and **TID Country Code**, if applicable) that was previously reported to the Reference Database. Next, select “**This TID has been replaced by a new TID.**” Then enter the **Replacing TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Finally, enter the **Replacing TID Input Identifier** and click the **GENERATE** button.

**Transformed Identifier Generation**

Fill out the fields below and click Generate to generate your customer's Transformed Identifier. Input identifiers are not stored by CAIS.

\* **TID Type:**

FOREIGN  
 SSN/ITIN

\* **Input Identifier:**

9RTYH-YUITS478-9

\* **Foreign TID Type:**

OTHGOVT

\* **TID Country Code:**

Luxembourg (LU)

This TID has been replaced by a new TID.

\* **Replacing TID Type:**

FOREIGN  
 SSN/ITIN

\* **Replacing TID Input Identifier:**

999-99-9999

CANCEL **GENERATE**

Users are then returned to the Customer Record page where the generated Transformed Identifier values have been populated in the appropriate fields.

6.6. Enter a value for each applicable field in the **Address** section. Up to four total Address Records may be provided for the CAT Customer. If applicable, select **FDID Address List** to autopopulate the address on the Customer Record when the address is identical to the FDID address.

Address

\* Address Type: **ADDRESS1**

Select from FDID Address List:

ADDRESS1

\* Address Line 1:  
15 Jackson Pl

+ Add Address Line

ADD ADDRESS

\* City:  
Oasis

\* Country Code:  
United States (US)

\* Region Code:  
Hawaii (HI)

\* Postal Code:  
704

6.7. Once appropriate fields have been populated for the Customer Record, click **Add to Submission** to add the data to the submission file.

Submission Management

Reporter CRD

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Submission Record for: CAT Submitter ID: Reporter CRD: Correspondent CRD: Select a Correspondent CRD

RESET REVIEW

ADD ASSOCIATION

New FDID Record

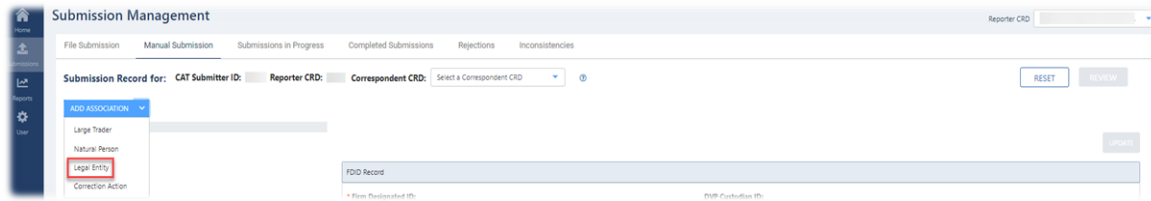
ADD TO SUBMISSION

- If this association needs to be modified after this step, click the Natural Person record in the FDID Record Associations section, then make appropriate modifications.
- If this association needs to be removed after this step, click the Natural Person record in the FDID Record Associations section, then click the **Remove** button.
- If one or more additional Natural Person records need to be added, repeat the above process for each Natural Person association.

7. To add a **Legal Entity CAT Customer** association to the submission:

7.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

7.2. Select **Legal Entity** from the dropdown.



7.3. Enter a value for each applicable field in the **Customer Association** section.

The screenshot shows the 'Customer Association (Legal Entity)' form. It contains the following fields:

- \* Customer Record ID:** A text input field containing the value '1'.
- \* Role:** A dropdown menu with 'TRDHOLDER' selected.
- \* Role Start Date:** A date picker field showing '20220101'.
- Role End Date:** A date picker field showing 'YYYYMMDD'.
- Role End Reason:** A dropdown menu with 'Select an End Date' selected.

- Customer Record ID:** A default Customer Record ID is automatically provided for each Customer association or enter a unique Customer Record ID value for the associated Customer Record.
- Role:** Select one Role value for the associated Customer Record.
- Has Discretion:** If required due to the Role being 'AUTHREP' or 'AUTH3RD', select either 'Yes' or 'No' to indicate whether the associated customer has trading discretion as defined in the Reference Database Technical Specifications for Industry Members.
- Role Start Date:** Enter a value in the format of YYYYMMDD or select a date using the date picker.
- Role End Date:** If reporting a CAT Customer association that has been ended, enter a value in the format of YYYYMMDD or select a date using the date picker.
- Role End Reason:** If reporting a CAT Customer association that has been ended, select one End Reason value.

7.4. Enter a value for each applicable field in the **Customer Record** section.

The screenshot shows the 'Customer Record' form. It contains the following fields:

- \* Legal Name:** A text input field containing 'Test Company'.
- EIN:** A text input field containing '99-9999999'.
- LEI:** A text input field containing '839CMZT271094LP3R593'.
- \* Customer Type:** A dropdown menu with 'ADVISER' and 'BD' selected.
- Update Notification:** A checkbox labeled 'Yes' which is unchecked.

- Legal Name:** Enter the Legal Name known for the customer.

- b. **EIN:** Enter the Employer Identification Number known for the customer, if applicable. This field must be populated if the Input Identifier used to generate the customer's TID was an EIN.
- c. **LEI:** Enter the Legal Entity Identifier known for the customer, if applicable. This field must be populated if the Input Identifier used to generate the customer's TID was an LEI.
- d. **Customer Type:** Select one or more applicable Customer Types for the Customer Record.
- e. **Update Notification:** If applying an Update Notification to prevent or resolve a material inconsistency, check this box to set *updateNotification* to 'true'.

7.5. In the **Transformed Identifier** section, provide the Transformed Identifier value by either:

- Entering a pre-hashed TID value and selecting the **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable).

The screenshot shows a form titled "Transformed Identifier" with the following fields and options:

- \* Transformed Identifier:** A text input field containing the value "d41c0037fcf88a66aeb6b18b0ccc9ace4c0b71a93be4555d585006cfd2dc22ec". To the right of the field is a "Generate" button and a help icon.
- \* TID Type:** Two radio button options: "EIN" (unselected) and "FOREIGN" (selected).
- \* Foreign TID Type:** A dropdown menu with "NATIONALID" selected and a help icon.
- \* TID Country Code:** A dropdown menu with "Canada (CA)" selected and a help icon.
- This TID has been replaced by a new TID. (with a help icon)

OR

- Generating a TID value. To generate a TID, click **Generate** and select a **TID Type**. Enter the **Input Identifier** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable), then click the **GENERATE** button.

Transformed Identifier Generation
✕

Fill out the fields below and click Generate to generate your customer's Transformed Identifier. Input identifiers are not stored by CAIS.

**\* TID Type:**

FOREIGN  
 SSN/ITIN

**\* Input Identifier:**

ⓘ

**\* Foreign TID Type:**

ⓘ

**\* TID Country Code:**

ⓘ

This TID has been replaced by a new TID. ⓘ

CANCEL
GENERATE

Users are then returned to the Customer Record page where the generated Transformed Identifier value has been populated in the Transformed Identifier field.

If an Industry Member must update the Transformed Identifier that was previously reported to the Reference Database because the CAT Customer's Input Identifier was legally changed or the Industry Member has obtained a different Input Identifier that replaces the current Input Identifier, provide the updated Transformed Identifier by either:

- Entering the pre-hashed **Transformed Identifier** and **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable) that was previously reported to the Reference Database. Then select “**This TID has been replaced by a new TID**”. Next, enter the pre-hashed **Replaced by TID** value and select the **Replacing TID Type** (and **Replacing Foreign TID Type** and **Replacing Country Code**, if applicable).

Transformed Identifier

**\* Transformed Identifier:**

ⓘ Generate ⓘ

**\* TID Type:**

EIN  
 FOREIGN

This TID has been replaced by a new TID. ⓘ

**\* Replaced by TID:**

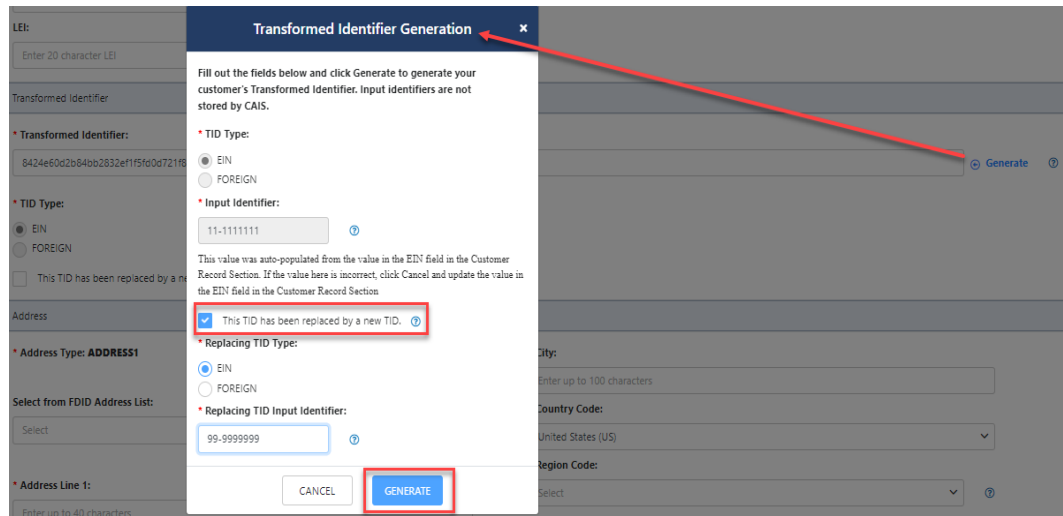
ⓘ Generate ⓘ

**\* Replacing TID Type:**

EIN  
 FOREIGN

OR

- Generating the **Transformed Identifier** and **Replaced by TID**. Click **Generate** in the **Transformed Identifier** section. The **Transformed Identifier Generation** window will appear. Select the **TID Type** and enter the **Input Identifier** (and **Foreign TID Type** and **TID Country Code**, if applicable) that was previously reported to the Reference Database. Next, select “**This TID has been replaced by a new TID.**” Then enter the **Replacing TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Finally, enter the **Replacing TID Input Identifier** and click the **GENERATE** button.



Users are then returned to the Customer Record page where the generated Transformed Identifier values have been populated in the appropriate fields.

- 7.6. Enter a value for each applicable field in the **Address** section. Up to four Address records may be provided for the CAT Customer.

Address

\* Address Type: ADDRESS1

\* Address Line 1:  
101 North Way

+ Add Address Line

\* City:  
Des Moines

\* Country Code:  
United States (US)

\* Region Code:  
Iowa (IA)

\* Postal Code:  
50023

ADD ADDRESS Remove Address

8. To manually repair data validation errors for FDID or CAT Customer rejections:

8.1. First, enter a value for each applicable field in the **FDID Record** section. Fields marked with an asterisk (\*) are required.

8.2. Click **Add To Submission**. Note, this button will be disabled until required fields in the **FDID Record** section are populated.

Submission Management

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Submission Record for: CAT Submitter ID: Reporter CRD: Correspondent CRD: Select a Correspondent CRD

ADD ASSOCIATION

test

ADD TO SUBMISSION

FDID Record

\* Firm Designated ID:  
TEST1948

\* FDID Type:  
ACCOUNT

DVP Custodian ID:  
Enter one or more

Clearing Broker ID:  
1234

8.3. Select **Add Association**.

Submission Management

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

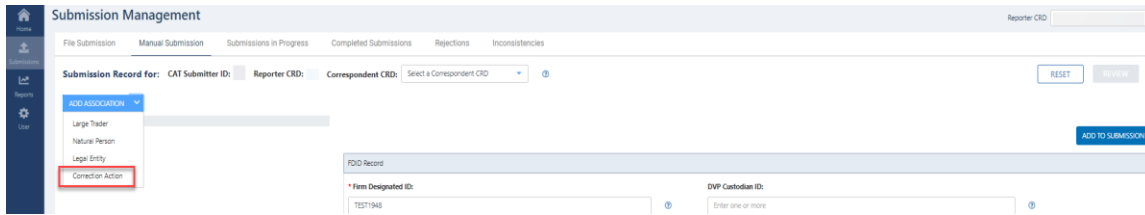
Submission Record for: CAT Submitter ID: 999999999 Reporter CRD: 999999999 Correspondent CRD: Select a Correspondent CRD

ADD ASSOCIATION

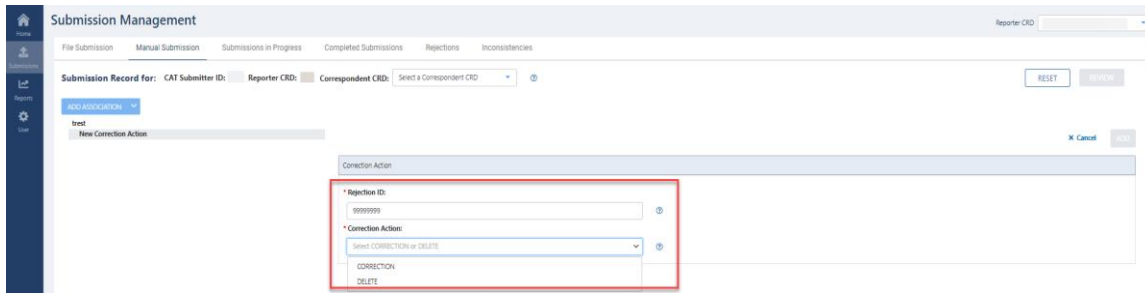
TEST1948

FDID Record

8.4. Select **Correction Action** from the dropdown.

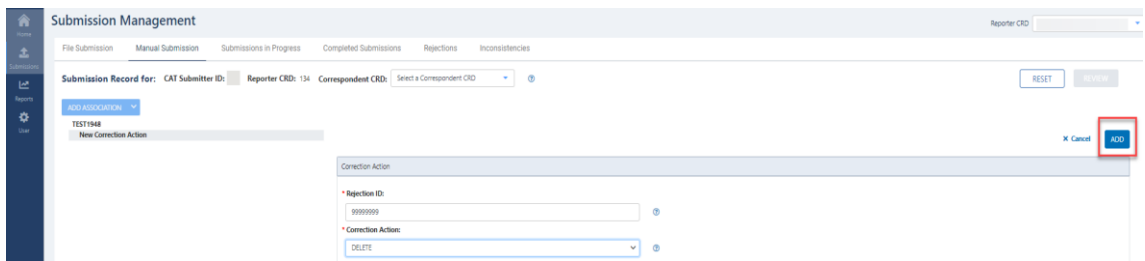


8.5. Enter the **Rejection ID** value and a **Correction Action** of CORRECTION or DELETE.

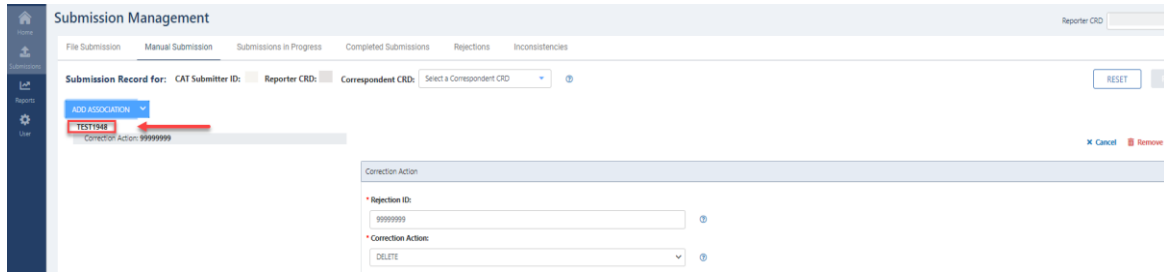


- **CORRECTION:** The prior rejection is being repaired by including a Correcting FDID Record or a Correcting Customer Record.
- **DELETE:** The prior rejection is being cleared without submitting a Correcting Firm Designated ID or a Correcting Customer Record ID.

8.6. Click **ADD** for the action being taken.

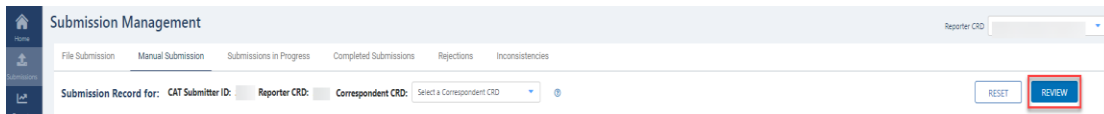


8.7. Click Firm Designated ID to return to the Manual Submission main window and complete resubmission of the FDID Record in its current state with all required LTID and CAT Customer associations with corrected data.

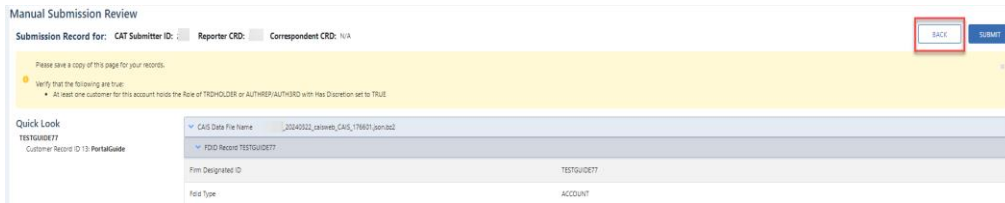


9. To submit manually created files through the Reference Database Reporter Portal:

9.1. Once all applicable fields have been populated, click the **Review** button. A summary of the data and metadata to be submitted is displayed.



- If any values associated to the applicable fields need to be modified, click the **Back** button prior to final submission.



9.2. Ensure all data is accurate and complete. Next, save a copy of the Manual Submission Review for your records *prior to submission*. Finally, click **Submit**.



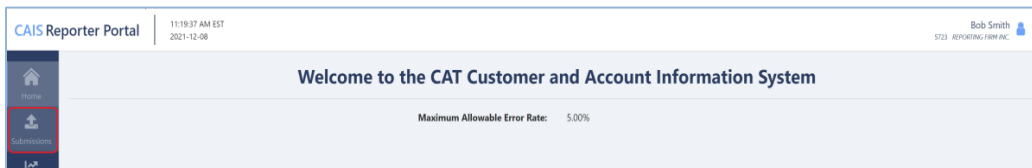
Manual submission generates a file set which is uploaded to the separate subsystems and processed through file integrity validation and data validation. Users may access feedback via the Download Submission Feedback Files functionality (see [Section 6.4](#)).

### 6.3. Submissions in Progress

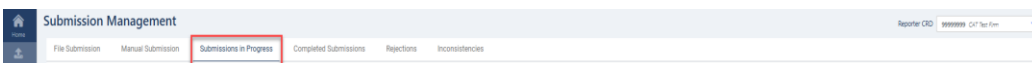
Files that were submitted via STFP, manually submitted via the Portal or manually created in the Portal go through processing before they reach a completed status when feedback on the submission can be provided. While files are in progress, they can be found on the Submissions in Progress tab.

To view submissions in progress:

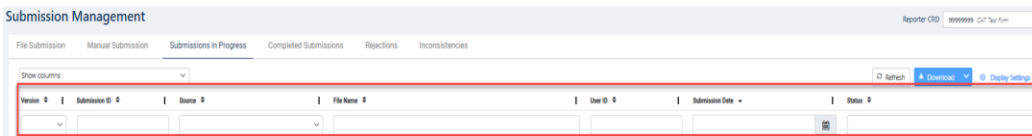
1. Select **Submissions**.



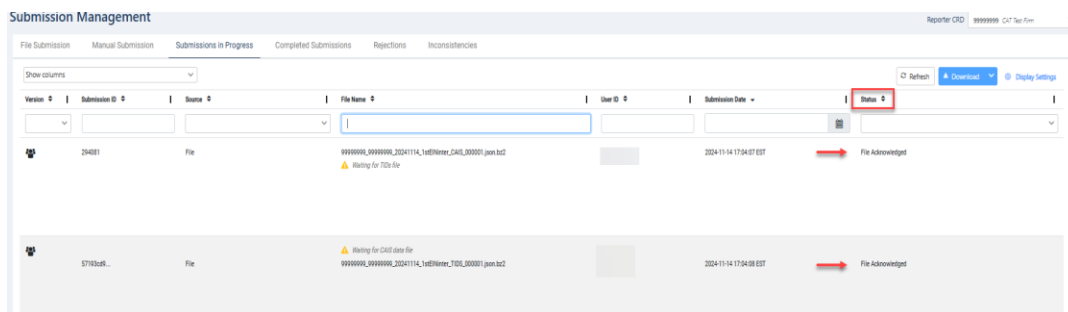
2. Select **Submissions in Progress**.



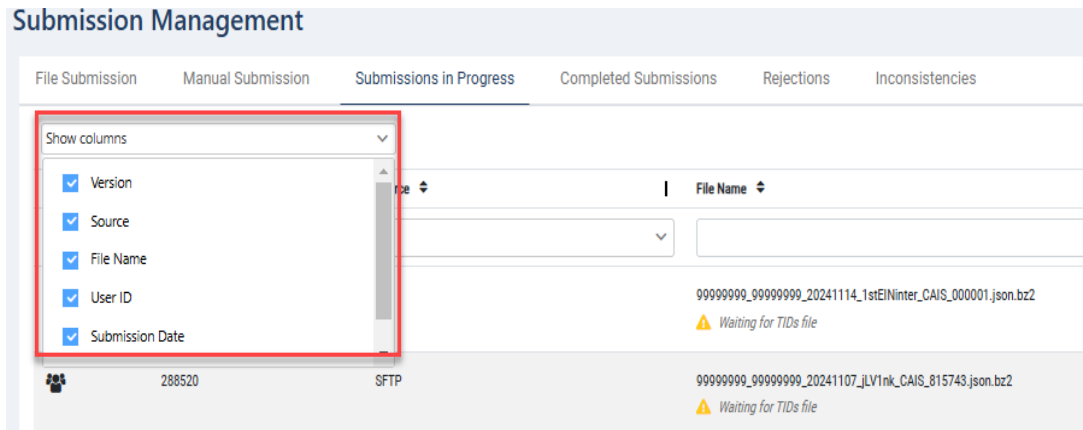
3. Utilize the **sort** and **filter** functionalities to locate the file(s).



For each submission in progress, the Status of the file is available.

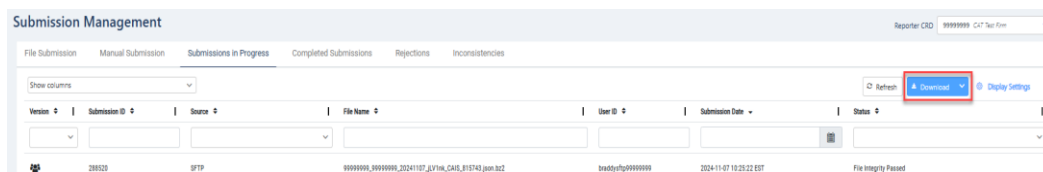


Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.



The available options under **Show columns** include the following:

- Version - To display submissions for the Reference Database and/or LTID Phase.
  - Source - Indicates whether the file was submitted via machine-to-machine communication, uploaded or manually entered via the Reference Database Reporter Portal.
  - File Name - The name of the file submitted by or on behalf of the Industry Member.
  - User ID - A unique account identifier associated to the user that submitted the file.
  - Submission Date - Date that the file was submitted by or on behalf of the Industry Member to the Reference Database.
  - Status – Indicates the current status of the submission:
    - File Acknowledged
    - File Integrity Passed
    - Record Scan Completed
4. Optionally, select the **Download** button to download processing submissions in a CSV file. If filters have been applied to the download, only the files meeting the specified criteria are downloaded.



#### 6.4. Download Submission Feedback Files

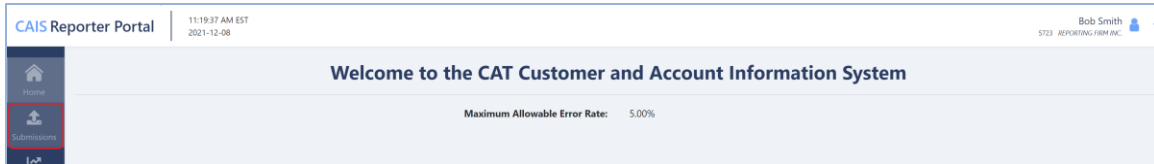
Entitled users may download file feedback via the Reference Database Reporter Portal. Feedback may only be downloaded for data files that were uploaded or manually entered via the Reference Database

Reporter Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).

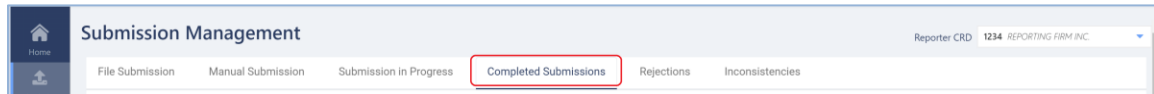
Each Reference Database submission will receive feedback on both the Reference Data File and the Transformed Identifiers File.

**To download a feedback file:**

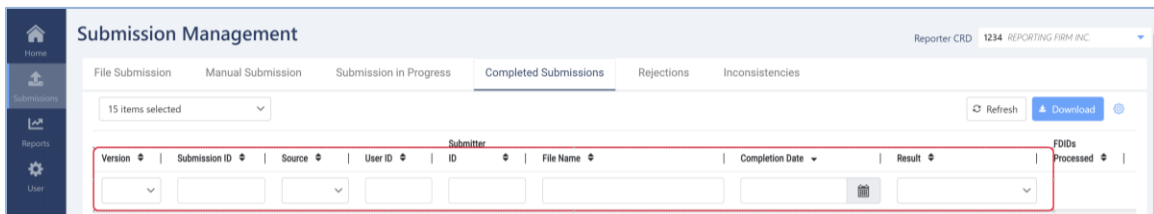
1. Select **Submissions**.



2. Select **Completed Submissions**.



3. Utilize the **sort** and **filter** functionalities to locate the submission for which the feedback files were generated.



4. Once the file is located, click the **Feedback File** button on the far right of the display. Select the **CAIS Data Feedback File** or **TIDs Feedback File** in order to download the corresponding feedback file. The **Result** column displays the final state of the submission.

Progress **Completed Submissions** Rejections Inconsistencies

Refresh Download Display Settings

Result	FDIDs Processed	FDIDs Accepted	FDIDs Rejected	Customers Processed	Customers Accepted	Customers Rejected	Feedback Files
Completed - Without Rejections	10	10	0	10	10	0	Download
Completed							
Completed - With Rejections	2000	1999	1	2000	2000	0	CAIS Data Feedback File TIDs Feedback File
Completed							

Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.

Submission Management Reporter CRD: 99999999 CAT Test Firm

File Submission Manual Submission Submissions in Progress **Completed Submissions** Rejections Inconsistencies

Refresh Download Display Settings

Show columns

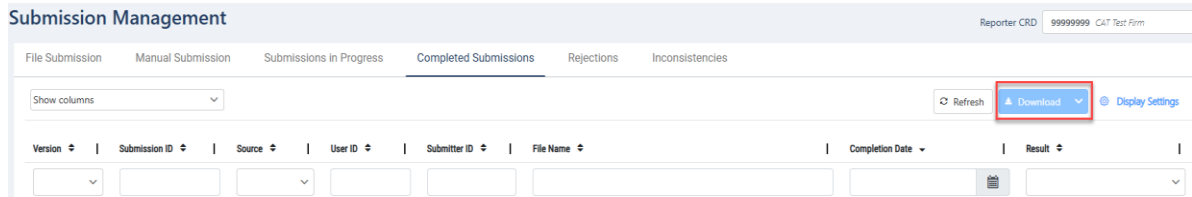
- Version
- Source
- User ID
- Submitter ID
- File Name

Source	User ID	Submitter ID	File Name	Completion Date	Result	F	P
SFTP	braddysftp99999999	99999999	99999999_99999999_20241119_Fa_CAIS_391098.json.bz2	2024-11-19 10:21:37 EST	Completed - With Rejections		4
SFTP	braddysftp99999999	99999999	99999999_99999999_20241119_Fa_TIDS_391098.json.bz2	2024-11-19 10:21:37 EST	Completed		

The available options under **Show columns** include the following:

- Version - To display submissions for the Reference Database and/or LTID Phase.
- Source - Indicates whether the file was submitted via machine-to-machine communication, uploaded or manually entered via the Reference Database Portal.
- User ID - A unique account identifier associated to the user that submitted the file.
- Submitter ID - Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- File Name - The name of the file submitted by or on behalf of the Industry Member.
- Completion - Date on which the file completed processing.
- Result - Displays the final state of the submission:
  - Completed
  - Without Rejections
  - With Rejections
  - Integrity Error
  - File Timeout
  - Cancelled by Support
  - Processing Failure

- Optionally, select the **Download** button to download Completed Submissions in a CSV file. If filters have been applied to the download, only the files meeting the specified criteria are downloaded.



## 7. Reference Database Reporting Relationships

A Reference Database Reporting Relationship establishes a link between an Industry Member and a Submitter for purposes of transmitting Customer and FDID reference data and viewing feedback. A relationship is comprised of:

- **The Industry Member.** This identifies the Industry Member that is required to submit data to the Reference Database and for which data may be transmitted and viewed.
- **The Submitter.** This identifies the organization that may transmit and view data on behalf of the Industry Member.

A reporting relationship must be manually created in the CAT Transaction Reporter Portal before a Submitter may transmit Customer and FDID reference data on behalf of the Industry Member. **Only the Industry Member can create and manage Reporting Relationships.** For more information on creating and managing relationships in the CAT Transaction Portal, see the [Industry Member CAT Reporter Portal User Guide](#). An Industry Member may have multiple active relationships at any time. Self-reporting Industry Members are not required or able to establish a self-reporting relationship.

Information regarding the methods to view and manage Reference Database Reporting Relationships via the Portal is provided below. Reference Database Reporting Relationships are **view-only** in the Reference Database application. **All Reference Database Reporting Relationship management occurs in the CAT Transaction Reporter Portal.**

### 7.1. Usage of Reporting Relationships

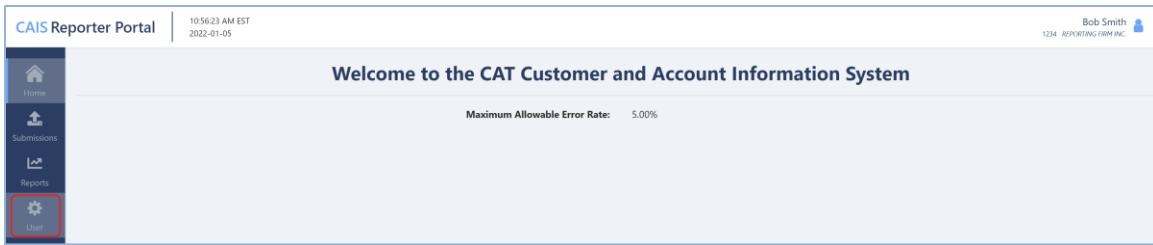
A reporting relationship allows the Submitter to transmit data on behalf of the Industry Member. This includes the ability to submit data, view feedback, repair rejections, resolve Inconsistencies and make corrections to submitted data. **A Submitter may only view feedback, repair/resolve errors and make corrections to data for an Industry Member for which it is authorized to submit.**

### 7.2. View Reference Database Reporting Relationships

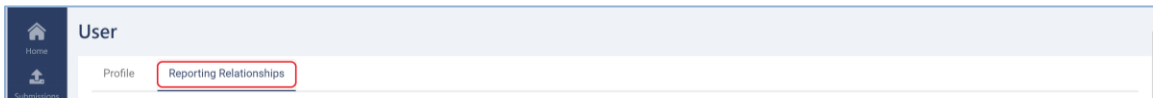
Reference Database Reporting Relationships are **view-only** in the Reference Database application from the perspective of the Submitter ID and cannot be used to create and manage Reference Database Reporting Relationships. See the following section for information on creating and managing Reference Database Reporting Relationships in the CAT Transaction Reporter Portal.

To view all Reporting Relationships for the organization:

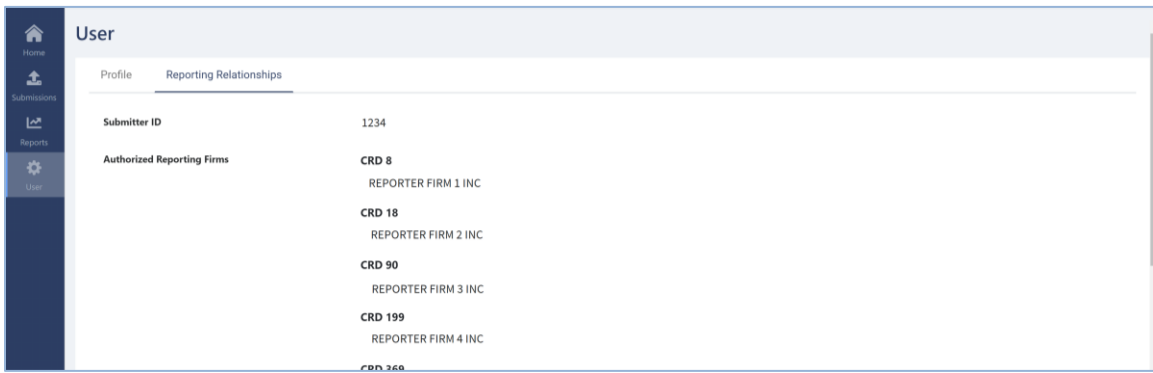
1. Select **User**.



2. Select **Reporting Relationships**.



3. The user's **Submitter ID**, **CAT Reporter CRD** (if applicable) and **active authorized Reporting Relationships** are displayed. Industry Members for which the user's organization is authorized to submit are listed.



Reference Database Reporting Relationships cannot be changed or removed from within the Reference Database Reporter Portal. All Reporting Relationship management occurs within the CAT Transaction Portal.

### 7.3. Create and Manage Reference Database Reporting Relationships

All Reference Database Reporting Relationships must be created and managed within the CAT Transaction Reporter Portal. For information on accessing the CAT Transaction Reporter Portal directly, see the Industry Member CAT Reporter Portal User Guide at <https://www.catnmsplan.com/transaction-registration>.

### 7.3.1. Reference Database Reporting Relationship Fields, Rules and Validations

Each Reference Database Reporting Relationship includes the following data:


Field	Field Description	Required	Format	Rules/Validations
CAT Reporter CRD ID	The unique CRD identifier of the firm to which the logged-in user account is associated.	Yes	Derived by system	---
CAT Submitter CRD ID	The CRD Number for the CAT Reporting Agent/Submitter.	Yes	Dropdown Selection	Must not be the CRD Number of the CAT Reporter.
Effective Date	The first date on which the Reference Database Reporting Relationship is/was available for submitting and managing data.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.
Expiration Date	The last date on which the Reference Database Reporting Relationship is/was available for submitting and managing data.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

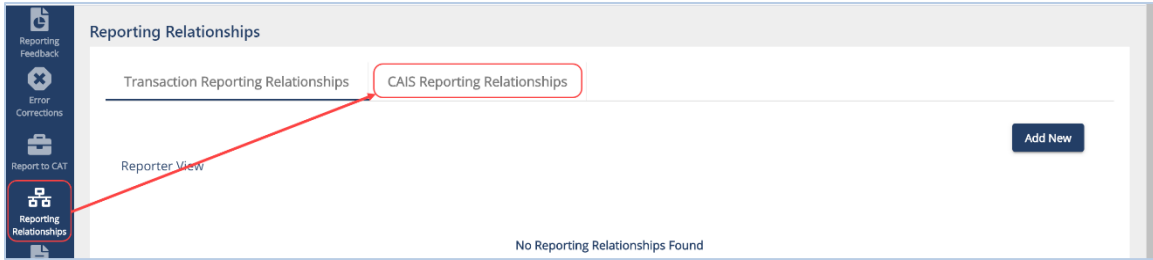
### 7.3.2. Duplicate and Overlapping Reference Database Reporting Relationships

To ensure data integrity, CAT does not allow two Reference Database Reporting Relationships to duplicate one another. When determining if two relationships would be duplicative, CAT considers the CAT Reporter CRD ID and CAT Submitter CRD ID as well as the Effective and Expiration Dates.

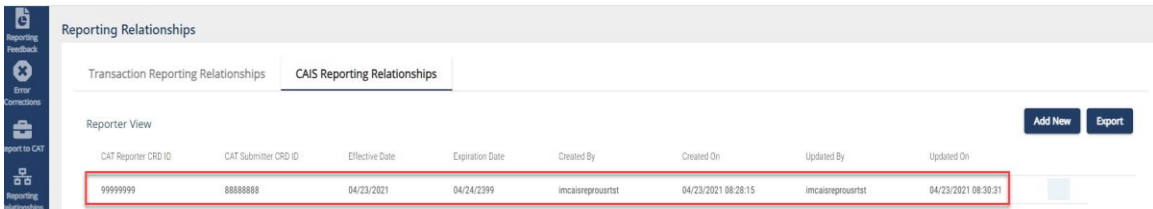
### 7.3.3. View and Export Reference Database Reporting Relationships

To manage all Reference Database Reporting Relationships for the Industry Member:

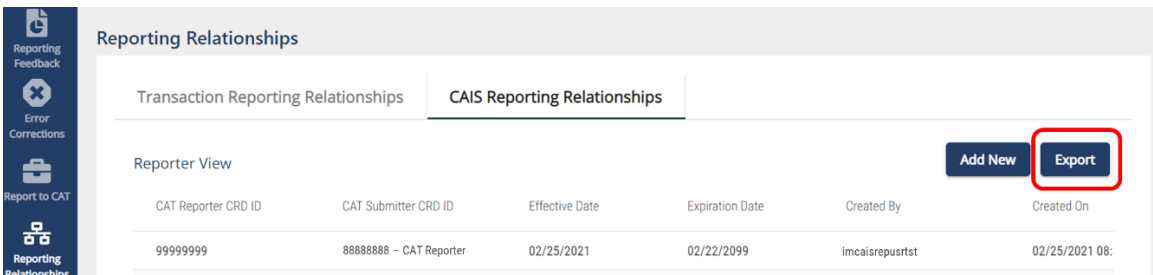
1. Click  on the navigation panel to access the CAT Transaction Portal.
2. Click **Reporting Relationships > CAIS Reporting Relationships**.



All Reference Database Reporting Relationships for the Industry Member are displayed, including those that are currently active, have a future effective date, are pending expiration or have already expired.



- To **export** a list, click **Export**. Download the generated CSV file using the internet browser functionality.

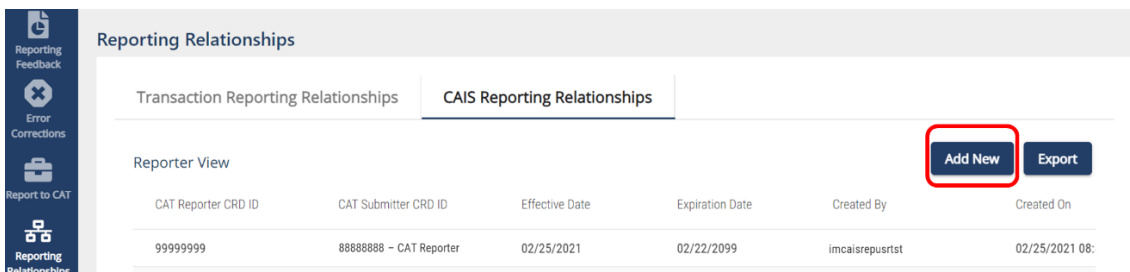


### 7.3.4. Add a Reference Database Reporting Relationship

The Industry Member must create a Reference Database Reporting Relationship before the Submitter is able to act on its behalf.

To **add** a new Reference Database Reporting Relationship:

- Click **Add New**.



2. Enter the details for the relationship. See [Section 7.3.1](#) above for details on field requirements, formats and validations.

3. Click **Save**. The new relationship is displayed on the Reference Database Reporting Relationships list.


CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepurstst
99999999	77777777 - Another CAT Reporter	02/22/2021		imcaisrepurstst

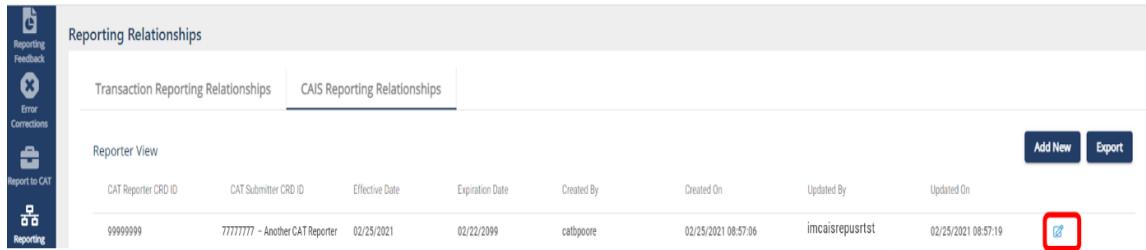
### 7.3.5. Manage Existing Reference Database Reporting Relationships

A relationship may be edited as follows:


- For a **future-dated relationship** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active relationship** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), only the *Expiration Date* may be edited.
- For an **expired relationship** (where the *Expiration Date* is before the current date), no fields may be edited.

To edit a non-expired Reference Database Reporting Relationship:

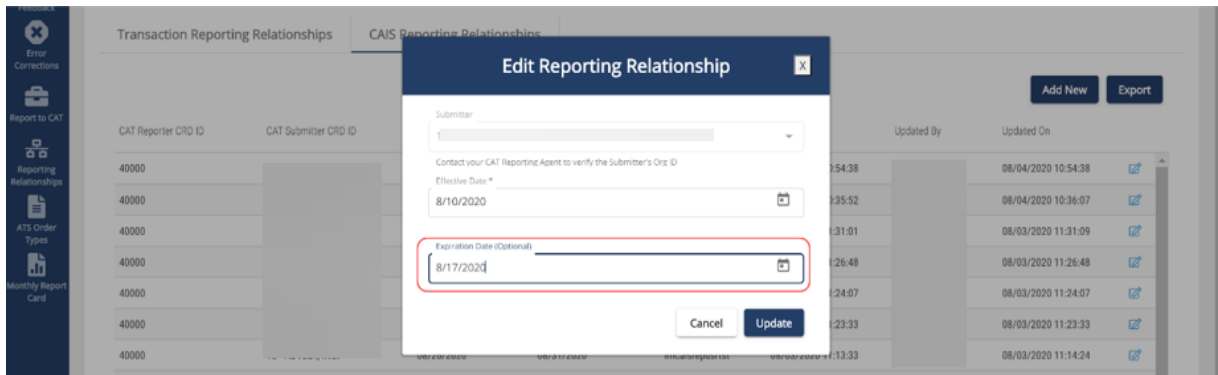
1. Click  for the relationship.



The screenshot shows the 'Reporting Relationships' page with the 'CAIS Reporting Relationships' tab selected. A table lists reporting relationships with columns for CAT Reporter CRD ID, CAT Submitter CRD ID, Effective Date, Expiration Date, Created By, Created On, Updated By, and Updated On. A red box highlights the edit icon in the rightmost column of the first row.

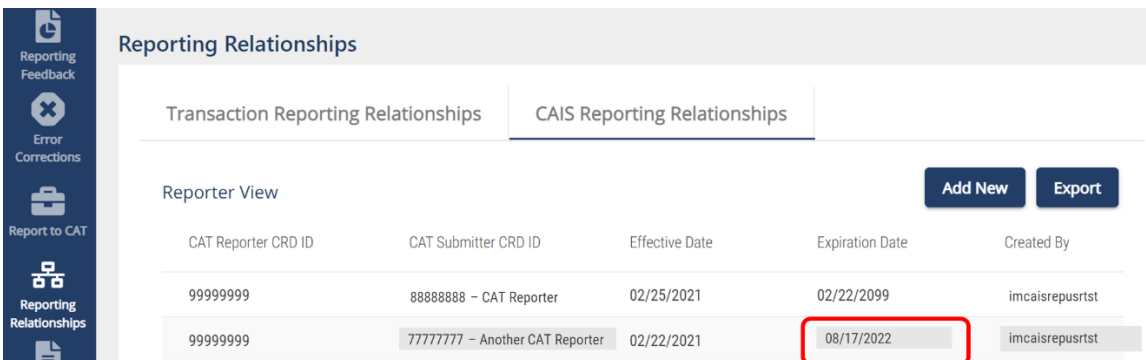
CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
99999999	77777777 - Another CAT Reporter	02/25/2021	02/22/2099	catpoore	02/25/2021 08:57:06	imcaisrepurstst	02/25/2021 08:57:19	

2. Make the desired update(s). See [Section 7.3.1](#) above for details on field requirements, formats and validations.



The screenshot shows the 'Edit Reporting Relationship' modal form. The 'Expiration Date (Optional)' field is highlighted with a red box and contains the date '8/17/2024'. The form also includes fields for 'Submitter', 'Effective Date', and 'Expiration Date', along with 'Cancel' and 'Update' buttons.

3. Click **Update**. The updated information is displayed in the Reference Database Reporting Relationships list.



The screenshot shows the 'Reporting Relationships' page with the 'CAIS Reporting Relationships' tab selected. The table now shows the updated expiration date for the relationship with CAT Reporter CRD ID 99999999 and CAT Submitter CRD ID 77777777 - Another CAT Reporter. The updated expiration date '08/17/2022' is highlighted with a red box.

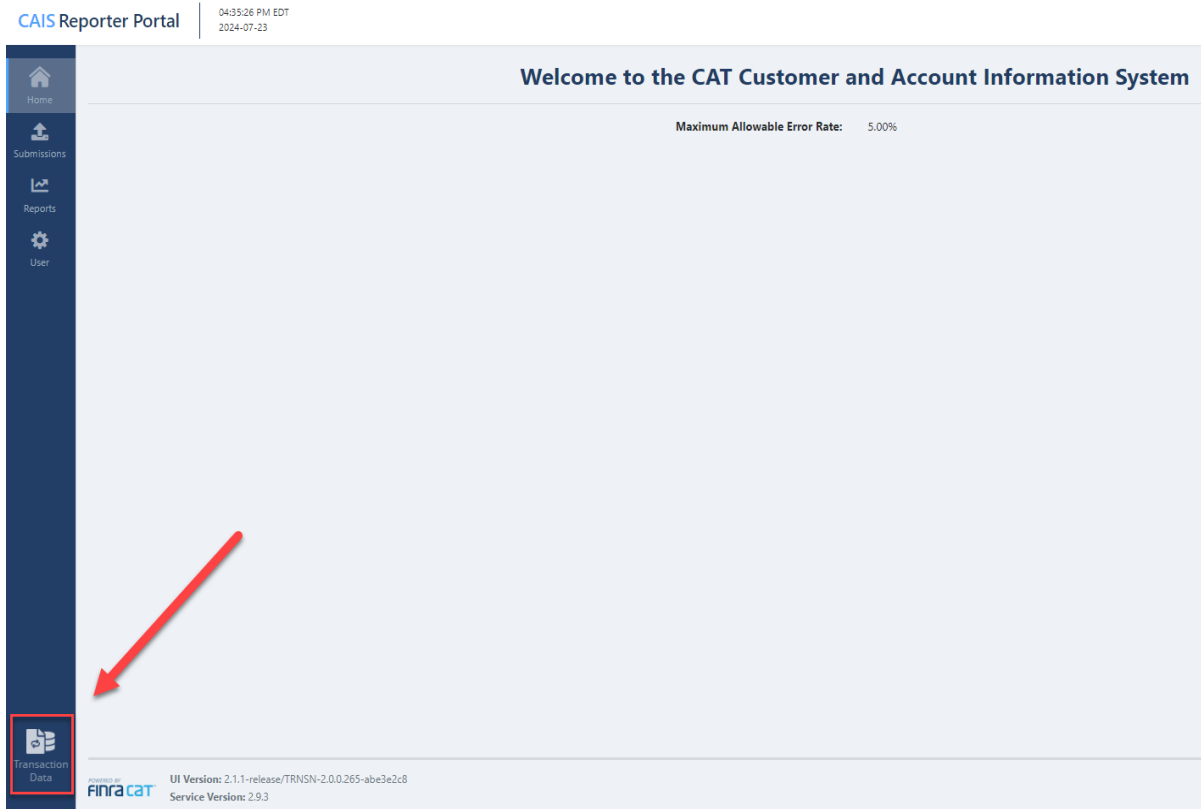
CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepurstst
99999999	77777777 - Another CAT Reporter	02/22/2021	08/17/2022	imcaisrepurstst

## 8. Reference Database Report Card

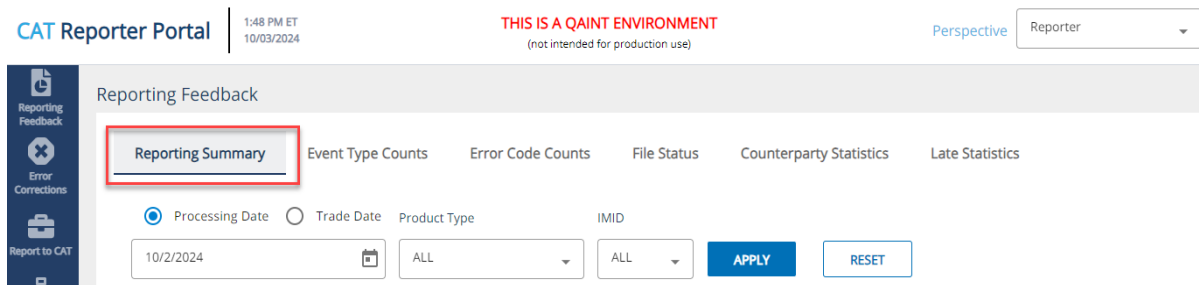
The Reference Database Report Card provides access to monthly statistics for FDID and Customer record submissions and Material Inconsistencies. Daily statistics can also be exported. These statistics assist CAT Reporters in monitoring compliance and supports regulators in their oversight functions.

**To view the Reference Database Report Card:**

1. Select **Transaction Data**.



The **Report Summary** tab is displayed by default.



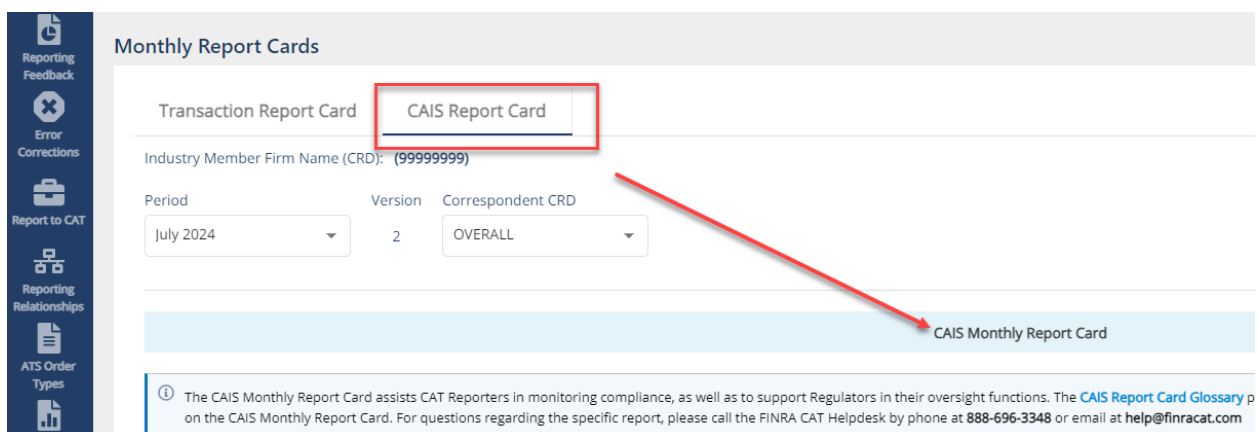
2. Select **Monthly Report Cards**.

The screenshot shows the 'Reporting Feedback' dashboard. On the left is a vertical navigation menu with icons and labels for: Reporting Feedback, Error Corrections, Report to CAT, Reporting Relationships, ATS Order Types, Monthly Report Cards (highlighted with a red box and a red arrow), Contact Management, and Invoices. The main content area has a header 'Reporting Feedback' and a tabbed interface with 'Reporting Summary' selected. Below the tabs are filters for 'Processing Date' (radio button), 'Trade Date' (radio button), 'Product Type' (dropdown menu), and 'IMID' (dropdown menu). The 'Processing Date' dropdown is set to '9/30/2024'. The 'Product Type' and 'IMID' dropdowns are set to 'ALL'. There are 'APPLY' and 'RESET' buttons. Below the filters, the text 'No Statistics Available' is displayed.

3. The **Transaction Report Card** tab is displayed by default.

The screenshot shows the 'Monthly Report Cards' page. The left navigation menu is the same as in the previous screenshot, with 'Monthly Report Cards' selected. The main content area has a header 'Monthly Report Cards' and a tabbed interface with 'Transaction Report Card' selected and highlighted with a red box. To the right of the tab is the text 'CAIS Report Card'. Below the tab, the text 'Industry Member Firm Name (CRD): (99999999)' is displayed. Below that is a 'Period' dropdown menu set to 'May 2024'. A large light blue rectangular area is visible below the dropdown menu.

4. Select **CAIS Report Card** to view the Reference Database Report Card section.



5. The Reference Database Report Card section provides the following information for the specified area:

- The **CAIS Compliance Summary** section provides monthly statistics for Firm CAIS Compliance Error Rate, Firm CAIS Compliance Error Count, Processed Record Count, Days Exceeding 5% Compliance Error Rate, Tier, Peer Group Compliance Error Rate and Industry Compliance Error Rate.
- The **FDID Submission Details** section provides the status, error count and percentage rate for FDID Compliance (i.e., Processed, Accepted, Rejected, Repaired, Late Repaired and Outstanding).
- The **Customer Submission Details** section provides the status, count, and percentage rate for CAT Customer Compliance (i.e., Processed, Accepted, Rejected, Repaired, Late Repaired and Outstanding).
- The **Material Inconsistencies Details** section provides monthly statistics for Material Inconsistencies Errors, (i.e., Total Material Inconsistencies), Intrafirm (i.e., Resolved, Late Resolved, and Outstanding) and Interfirm (i.e., Resolved, Late Resolved and Outstanding).

For more information on the data elements that are available on the Reference Database Monthly Report Card see the [CAIS Compliance Glossary](#).

6. To view statistics by a specific month and year, click on the dropdown feature under the **Period** column menu.

Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD): (99999999)

Period: July 2024 Version: 2 Correspondent CRD: OVERALL

Statistics will be made available by calendar month for up to six years.

- A **Version** of “1” indicates that one Reference Database Report Card was issued for the selected Period. If applicable, Report Cards are reissued sequentially.

Period: June 2024 Version: 1 Correspondent CRD: OVERALL

- If applicable, select the dropdown under the **Correspondent CRD** menu. Options include the following:
  - SELF - Filters the statistics to submission files for the Industry Member where the Correspondent CRD was not set OR the Correspondent CRD was set the same as the CAT Reporter CRD.
  - OVERALL - Includes statistics for all submission files for the Industry Member.
  - ALL CORRESPONDENTS - Filters the statistics to submission files for the Industry Member where the Correspondent CRD was set to any value other than the same value as the CAT Reporter CRD.
  - Individual Correspondent - Filters the statistics to submission files for the Industry Member where the Correspondent CRD was set to the selected value.

Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD):

Period: June 2024 Version: 1 Correspondent CRD: OVERALL

SELF  
OVERALL  
ALL CORRESPONDENTS  
88888888  
77777777

CAIS Compliance Summary

CATEGORY	COUNT/RATE
Firm CAIS Compliance Error Rate* ⓘ	0.0019%
Firm CAIS Compliance Error Count ⓘ	32
Processed Record Count ⓘ	1,695,614
Days Exceeding 5% Compliance Error Rate	0
Tier ⓘ	
Peer Group Compliance Error Rate	
Industry Compliance Error Rate	1.7488%

\*Inconsistencies are not included in the Compliance Error Rate

FDID Submission Details

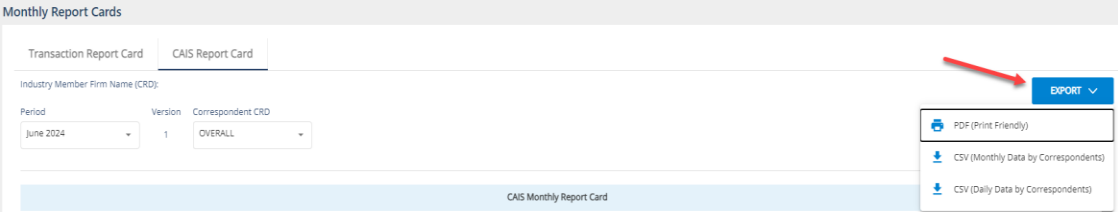
STATUS	COUNT	RATE
FDID Compliance	24 ⓘ	0.0015% ⓘ
Processed	1,653,028	
Accepted	1,652,897	
Rejected	131	0.0079%
Repaired	131	100.0000%

9. To view category descriptions, hover over the tool tip for more information.

CAIS Compliance Summary

CATEGORY	COUNT/RATE
Firm CAIS Compliance Error Rate* ⓘ	0.0016%
Firm CAIS Total FDID and Customer Records processed	30
Processed Record Count ⓘ	1,925,347
Days Exceeding 5% Compliance Error Rate	0

10. To export monthly or daily statistics for the period displayed on the screen, click **Export**. If filters have been applied to **Correspondent CRD**, only the option meeting the specified filter criteria are exported. Download the generated CSV or PDF file using the internet browser functionality.



- PDF (Print Friendly) sample:

7/29/24, 11:30 AM CAT Reporter Portal

### Monthly Report Cards

Industry Member Firm Name (CRD):

Period: June 2024 | Version: 1 | Correspondent CRD: OVERALL

#### CAIS Monthly Report Card

The CAIS Monthly Report Card assists CAT Reporters in monitoring compliance, as well as to support Regulators in their oversight functions. The [CAIS Report Card Glossary](#) published on the CAT NMS plan website provides a reference description for all of the elements found on the CAIS Monthly Report Card. For questions regarding the specific report, please call the FINRA CAT Helpdesk by phone at **888-696-3348** or email at [help@finracat.com](mailto:help@finracat.com)

#### CAIS Compliance Summary

CATEGORY	COUNT/RATE
Firm CAIS Compliance Error Rate* ⓘ	0.0019%
Firm CAIS Compliance Error Count ⓘ	32

- CSV (Monthly Data by Correspondents) sample:

Created By: test123  
 Created On: 09/20/2024 15:41:31  
 Period: 2024-07  
 Version: 1

Industry Mem	Industry 2	Report C	Report C	Corresponde	Report C	Firm CAI	Firm CAI	Processed	Days	Exc	Tier	Peer Gro	Industry	FDID Cc	FDID Cc	FDID Re
99999999	CAT Test	2024	7	SELF	1	1.99%	420317	2.1E+07	18				28.31%	1.99%	209496	1.1E+07
99999999	CAT Test	2024	7	OVERALL	1	4.17%	934094	2.2E+07	19				28.31%	4.15%	465198	1.1E+07
99999999	CAT Test	2024	7	ALL CORRE	1	38.85%	513777	1322331	19				28.31%	38.72%	255702	660353
99999999	CAT Test	2024	7	99999998	1	33.33%	3	9	1				28.31%	33.33%	1	3
99999999	CAT Test	2024	7	1111	1	38.85%	513774	1322322	19				28.31%	38.72%	255701	660350

- CSV (Daily Data by Correspondents) sample:

Created By: test123											
Created On: 09/20/2024 15:45:44											
Period: 2024-07											
Version: 1											
Industry Me	Industry I	CAIS Processing Date	Correspondent CRD	Report C	Firm CA	Firm CA	Processed	Exceeds	FDID Cc	FDID Cc	FDID Re
99999999	CAT Test	7/1/2024	SELF	1	100.00%	4	4	Y	100.00%	2	2
99999999	CAT Test	7/1/2024	OVERALL	1	100.00%	14	14	Y	100.00%	7	7
99999999	CAT Test	7/1/2024	ALL CORRESPONDENTS	1	100.00%	10	10	Y	100.00%	5	5
99999999	CAT Test	7/1/2024	1111	1	100.00%	10	10	Y	100.00%	5	5
99999999	CAT Test	7/2/2024	SELF	1	95.24%	40	42	Y	95.24%	20	21
99999999	CAT Test	7/2/2024	OVERALL	1	80.14%	14460	18044	Y	80.14%	7230	9022
99999999	CAT Test	7/2/2024	ALL CORRESPONDENTS	1	80.10%	14420	18002	Y	80.10%	7210	9001
99999999	CAT Test	7/2/2024	1111	1	80.10%	14420	18002	Y	80.10%	7210	9001
99999999	CAT Test	7/3/2024	SELF	1	80.27%	6216	7744	Y	80.27%	3108	3872
99999999	CAT Test	7/3/2024	OVERALL	1	80.24%	18620	23204	Y	80.24%	9310	11602