Industry Member CAT CAIS Reporter Portal User Guide

2020-08-21 Version 1.0

Table of Contents

Cha	nge L	.og		2
Ove	rview			3
Com	pani	on Docu	ments	4
1.	Entit	tlement	and User Roles	5
2.	Tech	nnical R	equirements	6
3.	Acce	ess Info	rmation	7
4.	Rep	orting F	eedback	8
	4.1.	Report	ing Summary	8
	4.2.	Report	ing Statistics	8
		4.2.1.	Submission Report	8
		4.2.2.	FDID Reconciliation Report1	0
5.	Erro	r Correc	tions1	3
	5.1.	Viewing	g Rejections1	3
	5.2.	Error C	orrection via Manual Submission1	5
	5.3.	Error C	orrection via File Submission1	9
6.	Rep	ort to C/	AIS	2
	6.1.	Upload	Data to CAIS	2
		6.1.1.	File Processing	2
		6.1.2.	Upload Data File	3
		6.1.3.	Manually Report Data to CAIS	4
	6.2.	Downlo	oad Feedback File	8
7.	CAIS	S Report	ing Relationships	0
	7.1.	Usage	of Reporting Relationships3	0
	7.2.	View C	AIS Reporting Relationships	0
	7.3.	Create	and Manage CAIS Reporting Relationship3	1
		7.3.1.	CAIS Reporting Relationship Fields, Rules, and Validations	2
		7.3.2.	Duplicate and Overlapping CAIS Reporting Relationships	2
		7.3.3.	View and Export CAIS Reporting Relationships	2
		7.3.4.	Add a CAIS Reporting Relationship	4
		7.3.5.	Manage Existing CAIS Reporting Relationships	5
8.	Adm	ninistrati	ve Information	7
	8.1.	Annou	ncements3	7
	8.2.	System	9 Status	7

Change Log

Version	Date Published	Description of Change(s)
1.0	2020-08-21	Initial User Guide

Overview

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

Additionally, the Portal provides access to reporting statistics including information on an Industry Member's submissions and error rates as well as its performance compared to that of its peers. Users can also access other CAIS related information including system announcements, system status, and additional resources.

Questions

Questions related to this document may be directed to the FINRA CAT Helpdesk at 888-696-3348 or at <u>help@finracat.com</u>.

Companion Documents

- CAT CAIS Reporting Technical Specification, Reporting Scenarios, and JSON Schemas: <u>https://www.catnmsplan.com/specifications/im</u>
- Frequently Asked Questions: <u>https://www.catnmsplan.com/faq</u>
- Industry Member CAT CAIS Onboarding Guide: <u>https://www.catnmsplan.com/registration</u>

1. Entitlement and User Roles

Prior to accessing the Portal, an individual must have a CAT user account with an assigned user role that provides access to the Portal. See the <u>Industry Member Onboarding Guide</u> for details on obtaining a user account and assigning user roles.

User roles for the Industry Member Portal include CAT Account Administrator, CAIS Reporter User, CAIS Read-Only, and CAIS System Status User. The abilities for each user role are:

Task	CAIS	CAIS	CAIS Reporter
	Account	Reporter	Read-Only
	Admin	User	User
Create/manage CAIS users	Х		
(via the FINRA Entitlement System)			
View CAIS system status, maintenance, and	x	x	X
announcements	~	~	~
View/export CAIS feedback files and reports	Х	Х	Х
View CAIS reporting relationships	Х	Х	Х
Create/edit CAIS reporting relationships	x	x	
(via the CAT Transaction Reporter Portal)	~	~	
Create/edit CAIS records via CAIS Reporter Portal	Y	Y	
UI	~	~	
Repair CAIS error records	Х	Х	
Upload CAIS files	x	x	
(via CAIS Reporter Portal UI)	^	~	
View monthly consolidated report card	Х	Х	Х

2. Technical Requirements

The CAIS Reporter Portal supports HTML5-compatible browsers including Chrome, Firefox, and Safari. Using any other browser may result in the inability to access the Portal.

See the FINRA CAT Connectivity Supplement for Industry Members available at

<u>https://catnmsplan.com/registration/</u> for the available connection methods and all corresponding technical requirements.

3. Access Information

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

Production URL	CT/Industry Test URL
https://srg.catnms.com/	https://srg.ct.catnms.com/

For **private line** users accessing the Portal through a third-party Managed Service Provider:

Production URL	CT/Industry Test URL
https://reporterportal.cais.catnms.com/cais	https://reporterportal.ct.cais.catnms.com/cais

For AWS PrivateLink users:

Production URL	CT/Industry Test URL
https://reporterportal-pl.cais.catnms.com/cais	https://reporterportal-pl.ct.cais.catnms.com/cais

4. Reporting Feedback

4.1. Reporting Summary

The 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 entered via the Portal. A user may view statistics for the previous 90 calendar days, including the current date.

4.2. Reporting Statistics

4.2.1. Submission Report

The 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 entered via the 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.

CAIS Re	orter Portal 01.3948 PM EDT 2020-06-30	Bob Smith 5723 Reporting Firm Inc.
A Home	Welcome to the CAT Customer and Account Information System	
L Submissions	Maximum Allowable Error Rate: 5.00%	
Reports		
🛟 User		

2. Select Submission Report.

CAIS Re	porter Portal		Bob Smith 5723 Reporting Firm Inc.
A Home	Report Managemer	t	Í
£ . Submissions	FDID Reconciliation Report	Submission Report	

3. By default, submission statistics for the last 30 days will be displayed. To select another date or date range, utilize the date picker.

CAIS Re	porter Portal 01:44:25 PM EL 2020-06-30	DT			572	Bob Smith 23 Reporting Firm Inc.	•
Ame Home	Report Managemer	nt					Â
£ . Submissions	FDID Reconciliation Report	Submission Report					Т
2	20200531 - 2020 🛗			View Data For:	Reporter	~	
Reports	9 items selected 🗸 🗸		Submission Report		€ Refresh	▲ Download	
en User	Submission .			Records . I	Records Reje	ctions .	

4. Review the basic statistics.

CAIS Re	porter Portal 10:07:49 AM EDT 2020-07-07							Bob Smith S723 Reporting Firm Inc.
Anne Home	Submission Managem	nent				Reporter	CRD 5372 Reporting	y Firm Inc. 🔹
1 Submissions	File Submission Manual Sub	mission Subn	nission in Progres	ss Completed Submission	s Rejections			
.~	7 items selected 🗸 🗸						C Refresh	± Download
Reports	FDID \$	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	٥	Status	 Details
User] [~]	li li	1			~
	FJ8391QP10R	107441	22001	2020-06-25 13:27:17 EDT	2020-06-29 17:00:00 EDT		Overdue (1)	View
		107445	22001	2020-06-25 13:28:16 EDT	2020-06-29 17:00:00 EDT		Overdue (1)	View
	FJ98391LTR	107446	22001	2020-06-25 13:28:44 EDT	2020-06-29 17:00:00 EDT		Overdue (1)	View
	FJ99214KL0	107447	22001	2020-06-25 13:28:53 EDT	2020-06-29 17:00:00 EDT		Overdue (1)	View
	FJ9014TG11	108169	22001	2020-07-02 16:01:33 EDT	2020-07-08 17:00:00 EDT		AOutstanding (1)	View
	LMeyeSubmission2203417	108180 108340 108341	22034 22019 22034	2020-07-02 16:40:51 EDT 2020-07-06 10:06:31 EDT 2020-07-06 10:06:34 EDT	2020-07-08 17:00:00 EDT		▲Outstanding (3)	View
	LMeyeSubmission2203412	108173 108306 108307 108331 108332	22034 22034 22019 22019 22034	2020-07-02 16:31:26 EDT 2020-07-02 19:31:04 EDT 2020-07-02 19:31:01 EDT 2020-07-06 09:58:58 EDT 2020-07-06 09:59:01 EDT	2020-07-08 17:00:00 EDT		Outstanding (5)	View

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

CAIS Re	porter Portal	10:07:49 AM EDT 2020-07-07					Bob Smit 5723 Reporting Firm I	th 🍐
A Home	Submission I	Vanagement				Reporter CRD	5723 Reporting Firm Inc.	+
£ . Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			
	7 items selected	~					€ Refresh 🛓 Downlo	ad
Reports	EDID	♣ Rejection	D Error Code Erro	or Identification Date	Error Repair Deadline	≜ Statu	ns A Details	

CAIS displays the following information for the specified display criteria:

• **Submission metadata** for each file submitted to CAIS, including Submission ID, file name, and method of submission.

 Record submission statistics for each file submitted to CAIS, including number of records accepted, number of records rejected, and number of record rejections which have not yet been repaired.

4.2.2. FDID Reconciliation Report

The Portal provides a means for CAT Reporters to reconcile FDID and LTID data stored in CAIS with their own records. Entitled users can upload a new line-delimited text file containing up to 1,000 FDID records. CAIS will return a Microsoft Excel-readable delimited text file containing the following details for each FDID within the file:

- 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 CAIS.
- The Last Received Date, denoting the time and date on which the FDID record was last accepted by CAIS.
- A list of **partially masked LTIDs** which are associated to each FDID, including those that have been inactivated or are pending inactivation.
- An LTID Status value, which indicates whether the LTID association is:
 - Active: The FDID-to-LTID association does not have an End Date and End Reason applied.
 - Inactive: The LTID association has both End Date and End Reason applied, and the End Date value is equal or prior to the current calendar date.
 - **Pending Inactivation**: The LTID association has both End Date and End Reason applied, and the End Date value is in the future.

To obtain an FDID Report for the organization:

1. Select **Reports**.

CAIS Re	eporter Portal 01:39:48 PM EDT 2020-06-30		Bob Smith S723 Reporting Firm Inc.
A Home	We	lcome to the CAT Customer and Account Information System	
1 Submissions		Maximum Allowable Error Rate: 5.00%	
Reports			
‡ User			

2. Select a **Reporter CRD** for which you are currently entitled to submit data.

CAIS Re	porter Portal 0150.58 PM EDT 2020-06-30	Bob Smith 5723 Reporting Firm Inc.	4 -
Ame	Report Management		
1 Submissions	FDID Reconciliation Report Submission Report		
M	Please select a Reporter CRD and upload a new-line delimited text file containing up to 1,000 FDIDs. For each FDID, CAIS will return its status, last received date, and associated LTIDs.		
Reports	5723 Reporting Firm Inc.		
User	🛎 Select a file 🛩 Submit		

3. Upload a new line-delimited text file containing up to 1,000 FDIDs.

CAIS Re	porter Portal 01:50:58 PM EDT 2020-06-30	Bob Smith S723 Reporting Firm Inc.
A Home	Report Management	
1 Submissions	FDID Reconciliation Report Submission Report	
2	Please select a Reporter CRD and upload a new-line delimited text file containing up to 1,000 FDIDs. For each FDID, CAIS will return its status, last received date, and associated LTIDs.	
Reports	5723 Reporting Firm Inc.	
User	Select a file	

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

CAIS Re	porter Portal 01:52:13 PM EDT 2020-06-30	Bob Smith ST23 Reporting Firm Inc.
A Home	Report Management	
1 Submissions	FDID Reconciliation Report Submission Report	
Ŀ~	Once the download is complete, please open the results file to view a list of requested FDIDs along with their status, last received date, and associated LTIDs.	
Reports	To submit another report request, click here .	
¢	U	

5. Once the download is complete, you may open the file in Microsoft Excel or another compatible program.

	SMRD P	
	FINIACAT	catnmsplan.com
FDID_r	econciliationcsv	Show all $ imes$

5. Error Corrections

The Portal allows users to review and manage rejected records. This includes the ability to view a highlevel summary, view rejection details, and repair the data. A user may view repaired rejections for the previous 10 calendar days, including the current date. A user may view unresolved rejections until they are repaired.

5.1. Viewing Rejections

The 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 entered via the Portal.

To view record rejections for the organization:

1. Select Submissions.

CAIS Reporter Portal	0153:18 PM EDT 2020-06-30	Bob Smith STZ3 Reporting Firm Inc.
Ame Home	Welcome to the CAT Customer and Account Information System	
ي Submissions	Maximum Allowable Error Rate: 5.00%	
۲. ۲.		

2. Select Rejections.

CAIS Re	porter Portal	01:59:54 PM EDT 2020-06-30					Bob Smith 5723 Reporting Firm Inc.
A Home	Submission N	/lanagement				Reporter CRD	5723 REPORTING FIRM INC.
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections		
<u>™</u>	7 items selected	~					C Refresh
Reports							A

3. Overdue and outstanding rejections are displayed first in the table.

CAIS Re	eporter Portal								5723	Bob Smith Reporting Firm Inc.
A Home	Submission Manager	nent					Reporte	er CRD 5723 Report	ing Firm li	nc. 💌
1 Submissions	File Submission Manual Sub	omission Subn	nission in Progre	ss Completed Submiss	ions	Rejections				
2	7 items selected 🗸 🗸							C Ref	resh	≜ Download
Reports	FDID	Rejection ID	Error Code	Error Identification Date		Error Repair Deadline	\$	Status	\$	Details
User			~						~	
	GAUGE2142538743	107992 107993 107994	22018 22018 22018	2020-07-01 11:05:33 EDT 2020-07-01 11:05:33 EDT 2020-07-01 11:05:26 EDT		2020-07-07 17:00:00 EDT		Overdue (3)		View
	SathyaFdidWith22xxxError	108014 108162	22007 22007	2020-07-01 13:34:15 EDT 2020-07-02 15:47:35 EDT		2020-07-07 17:00:00 EDT		Overdue (2)		View
	FDID3123	108018	22001	2020-07-01 14:03:29 EDT		2020-07-07 17:00:00 EDT		Overdue (1)		View
	FDID9857	108008	22034	2020-07-01 11:36:12 EDT		2020-07-07 17:00:00 EDT		Overdue (1)		View
	FDID1123	108016	22034	2020-07-01 13:35:25 EDT		2020-07-07 17:00:00 EDT		Overdue (1)		View
	FDID541331	108020	22001	2020-07-01 14:03:29 EDT		2020-07-07 17:00:00 EDT		Overdue (1)		View
	did3	108311 108312 108316	22006 22006 22034	2020-07-05 23:22:17 EDT 2020-07-05 23:22:17 EDT 2020-07-05 23:22:18 EDT		2020-07-08 17:00:00 EDT		Outstanding (3)		View

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

CAIS Re	CAIS Reporter Portal 030946 PM EDT 2020-07-08 5123. Reporting Firm Inc.								
A Home	Submission Managem	ent		Reporter CRD 5723 Reporting Fin	m Inc. 🔹				
£ Submissions	File Submission Manual Subn	nission Submission in Progress Completed S	Rejections						
<u>12</u>	7 items selected 🗸 🗸			€ Refresh	≜ Download				
Reports	FDID \$	Rejection ID Error Code Error Identification E	Date Error Repair Deadline	Status	Details				
🗱 User		· · ·	20200707 - 20200708		•				
	GAUGE2142538743	107992 22018 2020-07-01 11:05:33 E 107 993 22018 2020-07 -01 11:05:33 E 107 <mark>99</mark> Missing or Invalid format of fdidDate 177-01 11:05:26 E	2020-07-07 17:00:00 EDT CDT	• Overdue (3)	View				
	SathyaFdidWith22xxxError	108014 22007 2020-07-01 13:34:15 E 108162 22007 2020-07-02 15:47:35 E	DT 2020-07-07 17:00:00 EDT	Overdue (2)	View				

5. To view further details regarding each rejection, click the **View** link.

CAIS Re	eporter Portal					Bob Smith 🛔 👻
A Home	Submission Manager	nent			Reporter CRD	5723 Reporting Firm Inc.
1 Submissions	File Submission Manual Sub	omission Submission in	Progress Completed Submi	ssions Rejections		
2	7 items selected 🗸 🗸					C Refresh
Reports	FDID	Rejection ID Error	Code Error Identification Date	Error Repair Dead	lline 🗢 Stat	us 🗢 Details
¢ User			~	20200707 - 20	200708	~
	GAUGE2142538743	107992 22018 107993 22018 107994 22018	2020-07-01 11:05:33 EDT 2020-07-01 11:05:33 EDT 2020-07-01 11:05:26 EDT	2020-07-07 17:00:	00 EDT ON	verdue (3) View

5.2. Error Correction via Manual Submission

The Portal provides a means by which entitled users can repair all rejected records submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal.

To repair rejected records via manual submission:

1. Select Submissions.

CAIS Rep	orter Portal 0153:18 PM EDT 2020-06-30	Bob Smith 5723 Reporting Firm Inc.	
A Home	Welcome to the CAT Customer and Account Information System		
1 Submissions	Maximum Allowable Error Rate: 5.00%		
Percette			

2. Select **Rejections.** Optionally, if the FDID is already known, navigate to the **Manual Submission** tab and resubmit the FDID data.

CAIS Re	porter Portal	01:59:54 PM EDT 2020-06-30					Bob Smith 5723 Reporting Firm Inc.	• •
A Home	Submission N	lanagement				Reporter CRD 572	23 REPORTING FIRM INC.	•
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			
<u>2</u>	7 items selected	~					S Refresh	d

3. Click the **View** hyperlink for an FDID with overdue or outstanding rejections.

CAIS Re	eporter Portal					Bob Smith 🛔 👻
A Home	Submission Manager	nent			Reporter CRD	5723 Reporting Firm Inc.
1 Submissions	File Submission Manual Sub	omission Submission in	Progress Completed Submi	ssions Rejections		
2	7 items selected 🗸 🗸					C Refresh
Reports	FDID	Rejection ID Error	Code Error Identification Date	Error Repair Dead	lline 🗢 Stat	us 🗢 Details
¢ User			~	20200707 - 20	200708	~
	GAUGE2142538743	107992 22018 107993 22018 107994 22018	2020-07-01 11:05:33 EDT 2020-07-01 11:05:33 EDT 2020-07-01 11:05:26 EDT	2020-07-07 17:00:	00 EDT ON	verdue (3) View

4. If the record has a data validation error, rejection data will be displayed under the **Data Validation Error(s)** section. To repair a data validation error, click the **Manual Submission** hyperlink.

CAIS Re	porter Portal	47 PM EDT 07-08									Bob Smit 5723 Reporting Firm N	th 🔒 👻
A Home	Submission Ma	nagement							Reporter CRD	5723 Re	porting Firm Inc.	•
1 Submissions	File Submission N	lanual Submission	Submission	in Progress	Completed Sub	missions	Rejections					
2	Return to Rejections											
Reports	Error Details											
🗱 User	CAT Reporter CRD		5723									
	FDID		TestingReject	ions								
	Error Repair Deadline		2020-06-29 1	7:00:00 EDT								
	Status		© Overdue									
	Malformed Record	IDs										
	No errors found Data Validation Erro	or										
	Resolve Error(s)	Rejection ID [▲]	Submitter ID 🗢	Submission ID	FDID Record ID	LTID Record ID	Error Code	¢	Error Identification Date	¢	Status	¢
	Manual Submission	107362	bsmith	12261			22005		2020-06-25 12:17:20 EDT		• Overdue	

 If the record has a malformed FDID or LTID, rejection data will be displayed under the Malformed Record(s) section. Malformed records can be repaired in two ways:

CAIS Re	porter Portal	03:14:53 PM EDT 2020-07-08									Bob Smit 5723 Reporting Firm In	h 🛔 🔹	•
A Home	Submission	Management							Reporter CRD	5723 Re	porting Firm Inc.	•	
£ Submissions	File Submission	Manual Submission	Submissior	n in Progress	Completed Su	bmissions	Rejections						
西	Return to Reje	ctions											
Reports	Error Details												
😍 User	CAT Reporter C	RD	5723										
	FDID		TestingRejec	tions2									
	Error Repair De	adline	2020-06-12	17:00:00 EDT									
	Status		© Overdue										
	Malformed R	ecord ID											
	Resolve Error(s) Rejection ID ^	Submitter ID 🗢	Submission ID	FDID Record ID	LTID Record ID	Error Code	¢	Error Identification Date	¢	Status	¢	
	Correction Del	ete 94966	bsmith	7796			22012		2020-06-10 14:54:53 EDT		• Overdue		

 Correction: Repair the malformed FDID by submitting a Correcting FDID or Correcting FDID and LTID pairing, which will take the place of the malformed FDID or LTID. The Correcting FDID or Correcting LTID must already be known to CAIS prior to this correction; otherwise, the user must create the record first via manual, file, or SFTP submission.

CAIS Re	porter Portal	03:16:49 PM EDT 2020-07-08					Bob Smith 5723 Reporting Firm Inc.	4 -
A Home	Submission	Management				Reporter CRD 57	723 Reporting Firm Inc.	•
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			
C Reports	Correction						Cancel 😔 Next	
۵	CAT Reporter CRI	5723						
User	CAT Submitter ID	5723						
	FDID	TestingRejectio	ns2					
	Rejection ID	94966						
	Correcting LTID *	LTID						
	A If the Correction	n LTID does not already exist in C	AIS, please submit the LTID before	correcting this rejection. Click here t	o make a manual submissio	on.		

• **Delete**: Repair the malformed FDID or LTID by deleting the malformed submission. No record of the malformed FDID or LTID will be stored.

CAIS Re	CAIS Reporter Portal 03:18:54 PM EDT 2020-07-08 03:18:54 PM EDT 3723 Reporting From Inc.												
Ame Home	Submission M	Submission Management Reporter CRD 5723 Reporting											
£	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections								
Submissions	Delete CAT Reporter CRD CAT Submitter ID	5723 5723				Cancel O Next							
	Rejection ID	94966											

 When the correcting file is submitted successfully, the user will be routed to the Submissions in Progress tab to view the status of the submission.

CAIS Re	CAIS Reporter Portal 03:20:50 PM EDT 2020-07-08 Bob Smith 5723. Reporting Firm Inc.											
Ame Home	Submission N	Management					Reporter CRD	5723 Reporting Firm Inc.	•			
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Subn	missions F	Rejections						
<u>ت</u>	6 items selected	~						C Refresh	Download			
Reports	Submission ID 🗢	Source \$	File Name	\$ U	Jser ID 🗘	Submission Date	✓ Res	ult	\$			
🕵 User		· •					iii		~			
	14066	Manual	5723_5723_20200701_CAIS_21	15413.json.bz2	bsmith	2020-07-01 17:28:49 EDT	File	Acknowledged				

- The **Submission ID** column displays the unique identifier assigned to each submission to CAIS.
- The **Source** column indicates whether the submission was made via the manual submission process, the file submission process, or the SFTP.
- The **File Name** column displays the full name of each file submitted. The acceptable syntax of file names is described in **Section 5.1** of the CAIS Technical Specification document.
- The User ID column indicates which user submitted each file.
- The **Submission Date** column indicates the date and time on which the file was submitted.
- The **Result** column indicates which step of processing that each file is currently in.

- **File Acknowledged** indicates the file was acknowledged as having been submitted, and has been picked up for file integrity checks.
- **File Integrity Passed** indicates the file passed file integrity checks, and will now be processed through record data validations.
- Record Scan Completed indicates the file has completed record validations.
- 7. When the correcting file has completed processing, metadata for the submission will be displayed in the **Completed Submissions** tab.

CAIS Re	03:23:14 PM EDT 2020-07-08 Bob Sm 5723 Appoint	th 🛔 👻
A Home	Submission Management Reporter CRD 5723 Reporting Firm Inc.	•
1 Submissions	File Submission Manual Submission Submission in Progress Completed Submissions Rejections	
Ľ″.	10 items selected V	ad
Reports	Submission → Submitter → Records →	÷
User		
	14932 Manual bsmith 5723 5723_5723_20200701_CAIS_21 2020-07-01 18:28:50 EDT Completed - Without 1 1 0 Rejections Rejections Reserved Reserved<	

5.3. Error Correction via File Submission

To repair rejected records via file submission:

1. Select Submissions.



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

CAIS Re	CAIS Reporter Portal 032606 PM EDT 2020-07-08 Bob Smith 5723 Reporting fram for 6										
A Home	Submission	Management				Reporter CRD 5723 Repo	vrting Firm Inc. 🔹				
£ . Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections						
Reports Contemports		-	Drag and drop files here or brow	se		Resources CAIS Reporter User Guide CAIS Technical Specification					
						File Requirements - Maximum of 5 files per submission					

3. When all desired files have been selected, or when the upload limit has been reached, click Submit.

CAIS Re	CAIS Reporter Portal 032633 PM EDT 2020-07-08 Sprith a 5721 Apporting Firm Inc.												
A Home	Submission Management				Reporter CRD 5723 Reporting Firm Inc.								
1	File Submission Manual Submission	Submission in Progress	Completed Submissions	Rejections									
Reports Resorts Cuser		Drag and drop files here or brows	5e		Resources CAIS Reporter User Guide CAIS Technical Specification								
					File Requirements - Maximum of 5 files per submission								
	5723_5723_20200708_CAIS_123456.json.bz2			286 Bytes 🗙	 Individual files are limited to a maximum uncompressed size of 1GB 								
	5723_5723_20200708_CAIS_123457.json.bz2			195 Bytes 🗙	- Files must be in .json format								
	5723_5723_20200708_CAIS_123458.json.bz2			256 Bytes 🗙	- File name must use the following format:								
	5723_5723_20200708_CAIS_123459.json.bz2			286 Bytes 🗙	[CAI Submitter ID]_[CAI Reporter CRD]_[File Generation Date]_[File Kind]_[File Number].[Format Extension].								
	5723_5723_20200708_CAI5_123410.json.bz2			256 Bytes 🗙	Example:								
				Submit	364785_8391_20191219_CAIS_000001,json.bz2								

 When the file has been successfully submitted, the user will be routed to the Submissions in Progress tab to view the status of the submission.

CAIS Re	eporter Portal	03:35:57 PM EDT 2020-07-08							57	Bob Smith 23 Reporting Firm Inc.	•
A Home	Submission	Managemen	t					Reporter CRI	5723 Reporting Fire	n Inc.	• 1
1 Submissions	File Submission	Manual Submissi	on Su	bmission in Progress	Completed S	Submissions	Rejections				1
<u>₩</u>	6 items selected	~							C Refresh	≜ Download	
Reports	Submission ID 🕈	Source		Name	\$	User ID 🗧	Submission Date	• F	Result	\$	
Quer User			~					m		~	
	14936	File	572	3_5723_20200708_CAIS_1	23456.json.bz2	bsmith	2020-07-08 17:29:52 EDT	F	ile Acknowledged		
	14935	File	572	3_5723_20200708_CAIS_1	23457.json.bz2	bsmith	2020-07-09 17:29:52 EDT	F	ile Acknowledged		
	14934	File	572	3_5723_20200708_CAIS_1	23458.json.bz2	bsmith	2020-07-08 17:29:52 EDT	F	ile Acknowledged		
	14933	File	572	3_5723_20200708_CAIS_1	23459.json.bz2	bsmith	2020-07-09 17:29:52 EDT	F	ile Acknowledged		
	14932	File	572	3_5723_20200708_CAIS_1	23410.json.bz2	bsmith	2020-07-08 17:29:52 EDT	F	ile Acknowledged		

5. When the file has completed processing, metadata for the submission will be displayed in the **Completed Submissions** tab.

CAIS Re	por	ter Portal	03:54:17 PM El 2020-07-08	DT								5723	Bob Smith Reporting Firm Inc.	
A Home	Su	ubmission	Manag	ement						Repo	orter CRD 5723	Reporting Firm I	пс	
£ Submissions		File Submission	Manual	Submission	Submissio	on in Progress Com	pleted	Submissions Rejec	tions					
Ľ [∞]		10 items selected	· ~									€ Refresh	≛ Download	
Reports		Submission ID	Source 🗘	User ID 🗘	Submitter ID	File Name	¢	Completion Date 🛛 🗸	Result	¢	Records Submitted	Records Accepted	Records Rejected	
User			File 🗸					`		~				
		14936	File	bsmith	5723	5723_5723_20200708_CAIS	123	2020-07-08 15:19:17 EDT	Completed - Without Rejections		4	4	0	
		14937	File	bsmith	5723	5723_5723_20200708_CAIS	123	2020-07-08 14:53:06 EDT	Completed - Without Rejections		42	42	0	
		14938	File	bsmith	5723	5723_5723_20200708_CAIS	123	2020-07-08 14:42:56 EDT	Completed - Without Rejections		1	1	0	
		14939	File	bsmith	5723	5723_5723_20200708_CAIS	123	2020-07-08 13:40:49 EDT	Completed - Without Rejections		192	192	0	
		14940	File	bsmith	5723	5723_5723_20200708_CAIS	123	2020-07-08 11:47:51 EDT	Completed - Without Rejections		14	14	0	

6. Report to CAIS

6.1. Upload Data to CAIS

Data files uploaded to CAT via the Portal are processed in three distinct phases:



6.1.1. File Processing

1. File acknowledgment

Prior to uploading files via the Portal, CAIS validates that:

- Each file name is unique and in the appropriate format.
- Each file is individually compressed using BZip2.
- Each file is in .json format.
- Each file is less than 1GB in size.
- The Submitter ID in each file name is that of the logged-in user's organization.
- The CAT Reporter CRD in each file name has an authorized Reporting Relationship to the Submitter ID

- The File Generation Date in the file name is a current or prior date.
- The entire submission does not exceed five files.

Failure to meet the specified requirements prevents the user from uploading the file via the Portal. Once a file is successfully uploaded, the file is processed through the following phases, with feedback being provided via the Portal at each stage. See **Section 6.2** below for details on retrieving feedback via the Portal.

2. File Integrity

After the file has been uploaded via the Portal, CAIS performs additional file-level validations. Failure to meet specified requirements results in the rejection of the file. See **Appendix B** in the CAIS Industry Member Technical Specifications for a comprehensive list of file integrity validations.

3. Data Ingestion

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

6.1.2. Upload Data File

Entitled users may provide CAIS data via the Portal by manually uploading data files. The following information provides details on how to upload and submit files via the Portal. For details on the expected format and content of the files, see the CAT Reporting Customer and Account Technical Specifications for Industry Members.

A single submission may not exceed five files or 5GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To upload one or more data files:

1. Select Submissions.

CAIS Re	porter Portal 01:53:18 PM EDT 2020-06-30	Bob Smith 5723 Reporting Firm Inc.	-
A Home	Welcome to the CAT Customer and Account Information System		
1 Submissions	Maximum Allowable Error Rate: 5.00%		
<u>1</u>			

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

CAIS Re	CAIS Reporter Portal Bob Smith a State Reporting Firm Acc. State Report Re										
A Home	Submission	Management				Reporter CRD 5723 Report	rting Firm Inc. 🔻				
£ . Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections						
Reports Reports			Drag and drop files here or brow	se		Resources CAIS Reporter User Guide CAIS Technical Specification					
						File Requirements - Maximum of 5 files per submission					

3. When all desired files have been selected, or when the upload limit has been reached, click Submit.

CAIS Re	porter Portal	03:26:53 PM EDT 2020-07-08					Bob Smith are stored and stored a		
Ame Home	Submission	Management				Reporter CRD	5723 Reporting Firm Inc.		
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections				
Reports Contemports				Resources CAIS Reporter User Guide CAIS Technical Specification					
						File Requirements - Maximum of 5 files per submission - Individual files are limited to a maximum uncompressed size of 1GB			
	5723_5723_202007	08_CAIS_123456.json.bz2			286 Bytes 🗙				
	5723_5723_202007	08_CAIS_123457.json.bz2			195 Bytes 🗙	 Files must be in .json format Files must be compressed using BZip2 			
	5723_5723_2020070	08_CAIS_123458.json.bz2		256 Bytes 🗙	- File name must use the following format: [CAT Submitter ID] [CAT Reporter CRD] [File Generation				
	5723_5723_2020070	08_CAIS_123459.json.bz2			286 Bytes 🗙	6 Bytes x Date_[File Kind]_[File Number].[Format Extension]. [Compression Extension] 6 Bytes x Example: 364785 8391 20191219 CAIS 000001.ison.bz2			
	5723_5723_202007	08_CAIS_123410.json.bz2			256 Bytes 🗙				
				Submit					

Once the files are successfully uploaded, each file goes through file integrity validation and data validation. Users may access any corresponding feedback via the Download Feedback File functionality.

6.1.3. Manually Report Data to CAIS

Entitled users may provide CAIS data via the Portal by manually reporting individual FDID and LTID records. The following information provides details on how to manually submit data to CAIS via the Portal.

To manually submit records:

1. Select Submissions.

CAIS Re	porter Portal 01:53:18 PM EDT 2020-06-30	Bob Smith ST23 Reporting Firm Inc.
A Home	Welcome to the CAT Customer and Account Information System	
1 Submissions	Maximum Allowable Error Rate: 5.00%	
Report		

2. Select Manual Submission.

CAIS Reporter Portal 03.55.44 PM EDT 2020-07-08								• •
A Home	Submission M	Management				Reporter CRD	5723 Reporting Firm Inc.	•
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			

3. Enter a value for each applicable field in the **FDID Record** section.

CAIS Re	porter Portal	03:56:30 PM EDT 2020-07-08					Bo 5723 Reportir	o Smith	•
A Home	Submission N	lanagement				Reporter CRD	5723 Reporting Firm Inc.		•
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			×	
Reports	Submission Re	cord		FDID Record			D Reset	• Next	
\$	CAT Submitter ID	5723		Firm Designated ID *	12345678910			0	
User	CAT Reporter CRD	5723		FDID Type *	Account		~	0	
				FDID Date *	20200708		Ĩ	0	
				End Date	YYYYMMDD		Ê	0	
				End Reason	End Reason		v		

- Firm Designated ID: Enter the Firm Designated ID associated with the account.
- **FDID Type**: Select either account or relationship depending on the Firm Designated ID type.
- **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.
- End Date: Optionally, enter the date on which the account or relationship was ended. This field is required if there is an End Reason applied.

- End Reason: Optionally, select the reason for which the account or relationship was ended. This field is required if there is an End Date applied.
- **Replaced By FDID**: If "Replaced" is selected as the End Reason, enter the FDID which is replacing the FDID in question.
- If desired, click the Add Association button in the FDID Record Associations section to add a new LTID association or modify an existing one. This button will be disabled until required fields in the FDID Record section are populated. Enter appropriate values for each field in the LTID Association section.

CAIS Rep	04:05:46 PM EDT 2020-07-08				Bob Si 5723 Reporting Fa	imith 🔒
Ame Home	File Submission Manual Submission	Submission in Progress	Completed Submissions	Rejections		
1 Submissions	Submission Record		FDID Record		© Reset	Next
Reports	CAT Submitter ID 5723		Firm Designated ID *	12345678910		0
٠	CAT Reporter 5723 CRD		FDID Type *	Account	~	0
User			FDID Date *	20200708		0
			End Date	YYYYMMDD		0
			End Reason	End Reason	~	
	FDID Record Associations	(LTID Association	Cancel O Add		
	Please add or select an association to update. Associatio FDID Record is in a valid state and does not have an End	ns can only be added when the I Date specified.	Large Trader ID *	12345678-0001		0
	Large Trader ID (LTID)	Add Association	Effective Date *	20200708		
			End Date	YYYYMMDD		
			End Reason	End Reason	~	
			End Reason	End Reason	~	

- Large Trader ID: Enter the Large Trader ID associated with the Firm Designated ID.
- Effective Date: Enter the date on which the LTID became associated to the FDID within the CAT Reporter's system.
- End Date: Optionally, enter the date on which the association was ended. This field is required if there is an End Reason applied.
- End Reason: Optionally, select the reason for which the association was ended. This field is required if there is an End Date applied.
- 5. Once appropriate fields have been populated for the LTID, click the **Add** button to add the data to the submission file.

CAIS Re	porter Portal	04:05:46 PM EDT 2020-07-08				572	Bob Smith a Reporting Firm Inc.
A Home	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections		
£ . Submissions	Submission Re	ecord		FDID Record		D Re	• Next
Reports	CAT Submitter ID	5723		Firm Designated ID *	12345678910		0
\$	CAT Reporter	5723		FDID Type *	Account		~ Ø
User				FDID Date *	20200708		. 0
				End Date	YYYYMMDD		•
				End Reason	End Reason		~
	FDID Record A	Associations an association to update. Associ	ations can only be added when the	LTID Association		• Cancel	• Add

- If this association needs to be modified after this step, click the LTID in the FDID Record Associations section, then make 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.
- If one or more additional LTIDs need to be added, repeat the above process for each LTID association.

CAIS Re	eporter Portal 04:07:17 PM EDT 2020-07-08		Bob Smith 5723 Reporting Firm Inc.	•
â	File Submission Manual Submission	Submission in Drograds Completed Submissions	Dejections	
Home		Submission in Progress Completed Submissions	Rejections	
£			S Reset Next	
Submissions	Submission Record	FDID Record		
Reports	CAT Submitter ID 5723	Firm Designated ID *	12345678910	
¢.	CAT Reporter 5723 CRD	FDID Type *	Account ~	
U.S.C.		FDID Date *	20200708	
		End Date	YYYYMMDD 🗃 🔮	
		End Reason	End Reason 🗸	
	FDID Record Associations	LTID Association	Cancel Remove	
	Please add or select an association to update. As	sociations can only be added when the		1

6. Once all desired fields have been populated, click the **Next** button.

CAIS Re	porter Portal		Bob Smith 5723 Reporting Firm Inc.					
A Home	Submission M	Management				Reporter CRD	5723 Reporting Firm Inc.	•
Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			
2	Submission P	ecord		EDID Pacard			© Reset ♥ Next	

7. A summary of the data and metadata to be submitted is displayed. Ensure all data is accurate and click the **Submit** button.



Once the manual submission file is successfully uploaded, it is processed through file integrity validation and data validation. Users may access any corresponding feedback via the Download Feedback File functionality.

6.2. Download Feedback File

Entitled users may download file feedback via the Portal. Feedback may only be downloaded for data files that were uploaded via the Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).

To download a feedback file:

1. Select Submissions.

CAIS Re	Optimizer 0153:18 PM EDT 2020-06-30	Bob Smith 5723 Reporting Firm Inc.
Ame Home	Welcome to the CAT Customer and Account Information System	
1 Submissions	Maximum Allowable Error Rate: 5.00%	
I ∠Z Panortz		

2. Select Completed Submissions.

CAIS Reporter Portal 04:10:29 PM EDT 2020-07-08 Bob Smith								
A Home	Submission M	Reporter CRD	5723 Reporting Firm Inc.	•				
1 Submissions	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections			

3. Utilize the sort and filter functionalities to locate the submission for which the feedback file was generated. Once the file is located, click the **Result** hyperlink and the feedback file download will commence. The **Result** column will display one of three values:

- **Completed Without Rejections**: All records in the file were processed successfully and accepted by CAIS without data validation errors.
- Completed With Rejections: Some records in the file were processed successfully and accepted by CAIS, but some records in the file were not processed and were rejected by CAIS due to a data validation error.
- **Completed Integrity Error**: No records in the file were processed successfully, and the file as a whole was rejected by CAIS due to a file integrity error.

CAIS Re	eporter Portal	03:54:17 PM E0 2020-07-08	DT									5723	Bob Smith Reporting Firm Inc.
Ame Home	Submission	Manag	ement							Repor	ter CRD 572	3 Reporting Firm II	nc. 💌
£ . Submissions	File Submission	Manual	Submission	Submissio	n in Progress	Completed S	ubmissions	Rejecti	ons				
~	10 items selected	~										2 Refresh	≛ Download
Reports	Submission ID	Source 🗘	User ID 🗘	Submitter ID	File Name	\$	Completion Date	-	Result	¢	Records Submitted	Records Accepted	Records Rejected
User		File 🗸						Ê		~			
	14936	File	bsmith	5723	5723_5723_202007	'08_CAIS_123	2020-07-08 15:19:	17 EDT	Completed - Withou Rejections	t	4	4	0

7. CAIS Reporting Relationships

A CAIS Reporting Relationship establishes a link between a CAT Reporter and a Submitter for purposes of transmitting and viewing CAIS data. A relationship is comprised of:

- **One CAT Reporter.** This identifies the firm that is required to submit data to CAIS and for which data may be transmitted and viewed.
- **One Submitter.** This identifies the organization that may transmit and view data on behalf of the CAT Reporter/CRD.

A reporting relationship must be manually created in the CAT Transaction Portal before a Submitter may transmit data on behalf of the CAT Reporter. **Only the CAT Reporter can create and manage Reporting Relationships**. A CAT Reporter may have multiple active relationships at any time. Self-reporting firms are not required or able to establish a self-reporting relationship.

Information regarding the methods to view and manage CAIS Reporting Relationships via the Portal is provided below. CAIS Reporting Relationships are **view-only** in the CAIS application. **All CAIS 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 CAT Reporter. This includes the ability to submit data and to view feedback for and make corrections to that data. A Submitter may only view and make corrections to data from a CAT Reporter for which they are authorized to submit.

7.2. View CAIS Reporting Relationships

CAIS Reporting Relationships are **view-only** in the CAIS application. See the following section for information on creating and managing CAIS Reporting Relationships in the CAT Transaction Portal.

To view all Reporting Relationships for the organization:

1. Select User.

CAIS Re	Porter Portal 05.03.27 PM EDT 2020-05-30	Bob Smith S723 Reporter Firm Inc.	•
A Home	Welcome to the CAT Customer and Account Information System		
L Submissions	Maximum Allowable Error Rate: 5.00%		
Reports			
t User			

2. Select Reporting Relationships.

CAIS Re	eporter Portal	05:04:21 PM EE 2020-06-30	т	Bob Smith 5723 Reporter Firm Inc.
Ame Home	User			
£ Submissions	Profile	Permissions	Reporting Relationships	

3. The user's **Submitter ID**, **CAT Reporter CRD** (if applicable), and **authorized Reporting Relationships** are displayed.

CAIS Re	porter Portal	04:12:41 PM EDT 2020-07-08		Bob Smith ST23 Reporting Firm Inc.
Ame Home	User			
1 Submissions	Profile	Reporting Relationships		
Reports	Submitter II	D	5723	
¢ User	Authorized	Reporting Firms	CRD 5723 Reporting Firm Inc. CRD 5724 Another Reporter Corp.	
			- monton reporter weight	

CAIS Reporting Relationships cannot be changed or removed from within the CAIS Reporter Portal. All Reporting Relationship management will occur within the CAT Reporter Portal.

7.3. Create and Manage CAIS Reporting Relationship

All CAT CAIS 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 <u>https://www.catnmsplan.com/registration</u>.

7.3.1. CAIS Reporting Relationship Fields, Rules, and Validations

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

Each CAIS Reporting Relationship includes the following data:

7.3.2. Duplicate and Overlapping CAIS Reporting Relationships

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

7.3.3. View and Export CAIS Reporting Relationships

To manage all CAIS Reporting Relationships for the Firm:

1. Click to access the CAT Transaction Reporting Portal.

CAIS Re	eporter Portal	01:04:57 PM EDT 2020-08-05			4 *
Ame Home	Welco	me to the CAT (Customer and Acco	ount Information	System
£ . Submissions					
Reports					
Ç					
Transaction Data					catnmsplan.com

2. Click Reporting Relationships > CAIS Reporting Relationships.

CAT Rej	porter Portal 10:45 AM EST 08/04/2020	Perspective Reporter	•	8 9
Reporting Feedback	Reporting Relationships			
Error Corrections	Transaction Reporting Relationships CAIS Reporting	Relationships		
Report to CAT	Reporter View			Add New
Reporting Relationships				
		No Reporting Relationships Found		

3. All CAIS reporting relationships for the Firm are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.

CAT Re	porter Portal			Perspective Reporte	r 👻		θ 🕏
Reporting	Reporting Relationships						ŕ
Freedback	Transaction Reporting Rela	ationships CAIS R	eporting Relationships				
Corrections						Add New	Export
Report to CAT	CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By
Reporting Relationships	40000	61 - B. C. ZIEGLER AND C	08/07/2020	08/31/2020	imcaisrepusrtst	08/04/2020 10:35:52	imcaisre
È	40000	3 - FINRA CAT LLC	08/03/2020		imcaisrepusrtst	08/03/2020 11:31:01	imcaisre
ATS Order Types	40000	1009	08/26/2020	08/31/2020	imcaisrepusrtst	08/03/2020 11:26:48	imcaisre
	40000	1000	08/26/2020	08/31/2020	imcaisrepusrtst	08/03/2020 11:24:07	imcaisre
Monthly Report Card	40000	100 - BOENNING & SCATT	08/26/2020	08/31/2020	imcaisrepusrtst	08/03/2020 11:23:33	imcaisre
	40000	10 - ADVEST, INC.	08/26/2020	08/31/2020	imcaisrepusrtst	08/03/2020 11:13:33	imcaisre
	40000	2 - LEGG MASON MASTE	07/31/2020	02/24/2021	caisrepusertst	07/31/2020 14:00:26	imcaisre
	FINTA CAT						catnmsplan.com

4. To <u>export</u> a list, click Export. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported. Download the generated CSV file using the internet browser functionality.

CAT Repo	rter Portal	EST 20			Perspective Report	ter 👻		θ 🕏
Reporting Feedback	eporting Relationships							Â
Error	Transaction Reporting	Relationships	CAIS Rep	oorting Relationships				
							Add New	Export
Report to CAT	CAT Reporter CRD ID	CAT Submitter C	RD ID	Effective Date	Expiration Date	Created By	Created On	Updated By
Reporting	40000	61 - B. C. ZIEGLI	ER AND C	08/07/2020	08/31/2020	imcaisrepusrtst	08/04/2020 10:35:52	imcaisre

7.3.4. Add a CAIS Reporting Relationship

The CAT Reporter must create a CAIS Reporting Relationship before the Submitter is able to act on its behalf.

To add a new CAIS Reporting Relationship:

1. Click Add New.

CAT Re	borter Portal			Perspective Reporte	er 👻		0 🎝
Reporting Feedback	Reporting Relationships						ŕ
Error	Transaction Reporting Rela	ationships CAIS R	eporting Relationships				
Corrections						Add New	Export
Report to CAT	CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By
C C Reporting	40000	61 - B. C. ZIEGLER AND C.	08/07/2020	08/31/2020	imcaisrepusrtst	08/04/2020 10:35:52	imcaisre

2. Enter the details for the relationship. See <u>CAIS Reporting Relationship Fields</u>, <u>Rules</u>, <u>and Validations</u> above for details on field requirements, formats, and validations.

Re	eporting Relationships					
	Transaction Reporting Relationships		Add New Reporting Re	lationship 🗵		
s AT	CAT Reporter CRD ID	CAT Submitb	Submitter * 123456 - CONNINGTON WEALTH MANAGEMEN Contact your CAT Reporting Agent to verify the Submitter's Org	T GROUP V	Add New Created On	Export Updated By
s	40000	61 - B. C. ZIE	8/10/2020		08/04/2020 10:35:52	imcaisre
	40000	3 - FINRA CA			08/03/2020 11:31:01	imcaisre
	40000	1009	Expiration Date (Optional)	Ē	08/03/2020 11:26:48	imcaisre
	40000	1000			08/03/2020 11:24:07	imcaisre
ort	40000	100 - BOENN		Cancel Save	08/03/2020 11:23:33	imcaisre
	40000	10 - ADVEST	z. <u>00/20/2020</u> 00/31/20		08/03/2020 11:13:33	imcaisre

3. Click Save. The new relationship is displayed on the CAIS Reporting Relationships list.

AT Repor	ter Portal	AM EST /2020			Perspective Repo	rter 💌			e
Re	porting Relationship	05							
lons	Transaction Reporti	ng Relationships CAIS	S Reporting Relation	ships					
o CAT	CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By	Add New Updated On	Export
ing ships	40000	123456 - CONNINGTON W	08/10/2020		imcaisrepusrtst	08/04/2020 10:54:38	imcaisrepusrtst	08/04/2020 10:54:38	2
	40000	61 - B. C. ZIEGLER AND C	08/07/2020	08/31/2020	imcaisrepusrtst	08/04/2020 10:35:52	imcaisrepusrtst	08/04/2020 10:36:07	Ø

7.3.5. Manage Existing CAIS 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 CAIS Reporting Relationship:

1. Click \square for the relationship.

CAT Re	porter Portal	0:55 AM EST 18/04/2020			Perspective	rter 👻			0 9
Reporting	Reporting Relation	ships							
Error	Transaction Rep	orting Relationships	CAIS Reporting Relat	onships					
Report to CAT	CAT Reporter CRD ID	CAT Submitter CBD I	D. Effective Date	Evairation Date	Created By	Created On	Lindated By	Add New	Export
Reporting Relationships	40000	123456 - CONNINGT	ON W 08/10/2020	expiration pare	imcaisrepusrtst	08/04/2020 10:54:38	imcaisrepusrtst	08/04/2020 10:54:38	~
ATS Order	40000	61 - B. C. ZIEGLER A	ND C 08/07/2020	08/31/2020	imcaisrepusrtst	08/04/2020 10:35:52	imcaisrepusrtst	08/04/2020 10:36:07	Ø

2. Make the desired update(s). See <u>CAIS Reporting Relationship Fields</u>, <u>Rules</u>, <u>and Validations</u> above for details on field requirements, formats, and validations</u>.

Transaction	Reporting Relationships CAIS	Penorting Relationshins				
ons		Edit Reporting Relationship 🛛 🗴			Add New	Export
CAT CAT Reporter CF	D ID CAT Submitter CRD ID	Submitter 123456 – CONNINGTON WEALTH MANAGEMENT GROUP		Updated By	Updated On	
e 40000	123456 - CONNINGTON W	Contact your CAT Reporting Agent to verify the Submitter's Org ID):54:3	imcaisrepusrtst	08/04/2020 10:54:38	2
40000	61 - B. C. ZIEGLER AND C	8/10/2020):35:5	52 imcaisrepusrtst	08/04/2020 10:36:07	ø
40000	3 - FINRA CAT LLC	Englanding Data (Database)	:31:0)1 imcaisrepusrtst	08/03/2020 11:31:09	Ø
40000	1009	8/17/2020	1:26:4	18 imcaisrepusrtst	08/03/2020 11:26:48	ď
40000	1000		1:24:0)7 imcaisrepusrtst	08/03/2020 11:24:07	ď
40000	100 - BOENNING & SCATT	Cancel Update	1:23:3	33 imcaisrepusrtst	08/03/2020 11:23:33	Ø
40000	10 - ADVEST, INC.	00/20/2020 00/01/2020 #Hodistepusitot 00/00/202		33 imcaisrepusrtst	08/03/2020 11:14:24	Ø

3. Click **Update**. The updated information is displayed CAIS Reporting Relationships list.

CAT Re	porte	er Portal	IST)				Perspective F	Reporter 👻			ө 🍨
Reporting Feedback	Repo	rting Relationships									
Error Corrections	-	Transaction Reporting F	Relationships	CAIS Reporting Relationships					C.		
Report to CAT		CAT Reporter CRD ID	CAT Submitter CRD ID		Effective Date	Expiration Date	Created By	Created On	Updated By	Add New Updated On	Export
Reporting Relationships		40000	123456 - CONNINGTON	W	08/10/2020	08/17/2020	imcaisrepusrtst	08/04/2020 10:54:38	imcaisrepusrtst	08/04/2020 10:59:30	
		40000	61 - B. C. ZIEGLER AND	C	08/07/2020	08/31/2020	imcaisrepusrts	08/04/2020 10:35:52	imcaisrepusrtst	08/04/2020 10:36:07	Ø

8. Administrative Information

8.1. Announcements

This section is intentionally left blank.

8.2. System Status

This section is intentionally left blank.