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# Industry CAT CAIS LTID Test Release Status

January 6, 2021

# Agenda

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- Industry Test Release Update
- General Announcements & Reminders
- Q&A

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# Industry CAT CAIS LTID Test Release Update

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# Industry Member Release Rollout

## Live in Industry Test

08/20/2020  
CAIS LTID Registration

08/24/2020  
Industry Test Release  
CAIS LTID 1.0

- CAIS LTID Reporter Portal Industry Test Open
- Industry Test Open for Machine-to-Machine File & Data Integrity Validations & Feedback
- CAIS LTID Reporter Portal Manual Submission and File Upload

10/05/2020  
CAIS LTID Certification  
Opens

- CAIS LTID Reporter Certification
- CAIS LTID Reporting Agent Certification
- CAIS LTID Registration Deadline for firms expecting to submit

12/14/2020  
CAIS LTID Production  
Opens

- CAIS LTID Reporter Portal Production Opens
- CAIS LTID Production Opens for Machine-to-Machine File & Data Integrity Validations & Feedback
- CAIS LTID Reporter Portal Manual Submission and File Upload
- CAIS LTID Reporter Statistics available

4/26/2021  
CAIS LTID Mandatory  
Reporting

- CAIS LTID reporting required for Phases 2a, 2b, and 2c (Large Industry Members)
- CAIS LTID Rejection Repair timeline enforced

# Industry Test Status CAIS LTID – As of January 5<sup>th</sup>, 2021

	Test Environment			Production Environment		
	Last Week	This Week	Change (+/-)	Last Week	This Week	Change (+/-)
Number of Firms Registered	651 (thru 12/24)	652 (thru 12/31)	+ 1			
Number of Firms Certified	10 (thru 12/24)	10 (thru 12/31)	+ 0			
Number of Total Submitters	34	35	+ 1	3	3	+ 0
Number of Unique Firms	123	130	+ 7	3	3	+ 0
Number of Files Received	Total: 3,216 Reporter Portal: 427 SFTP: 2,789	Total: 3,469 Reporter Portal: 464 SFTP: 3,005	+ 253	Total: 13 Reporter Portal: 13 SFTP: 0	Total: 16 Reporter Portal: 16 SFTP: 0	+ 3
Number of Files Rejected	1,669	1,696	+ 27	0	0	+ 0
File Reject Rate	51.90%	48.90%	- 3.00%	0%	0%	0%

# Industry Test Status CAIS LTID – December 21st– December 31st, 2020 Statistics

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CAT Processing Date	Test Environment			Production Environment		
	12/21/20 – 12/24/20	12/28/20 – 12/31/20	Totals	12/21/20 – 12/24/20	12/28/20 – 12/31/20	Totals
Records Accepted	1,590,438	5,551	1,595,989	16,317	16,318	32,635
Records Rejected	298	17	315	3	3	6
Record Rejection Rate	0.02%	0.31%	0.02%	0.02%	0.02%	0.02%

# CAT CAIS LTID Reporting Certification

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- Certification opened on October 5<sup>th</sup> – giving Industry Members and their Reporting Agents over 6 months to certify prior to the CAIS LTID compliance deadline.
- The CAIS LTID test environment will be used for certification.
- Registration for CAIS LTID requires Reporters to indicate their approximate number of FDIDs that have associated LTIDs.
- For Reporting Agents, this should be the aggregate total of all FDIDs with associated LTIDs.
- Only Reporters and Reporting Agents that pass certification will be able to submit data into the Production environment.

# CAIS LTID Certification Requirements

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- Reporters must successfully submit FDIDs with LTIDs with an error rate of 10% or less.
- Reporters with fewer than 100 FDIDs with LTID associations should submit all of their FDIDs to be certified. Reporters with 100 or more FDIDs with LTIDs should submit at least 100 FDIDs to be certified.
- Reporters with no accounts with LTID associations may certify using mock data to demonstrate their ability to successfully format for and transmit data to CAIS. – Updated guidance in the Onboarding Guide, published on 9/15
- Reporting Agents should use the aggregate total of all FDIDs with associated LTIDs to determine their Certification level, however they should include at least one FDID from every CRD for which they report.
- Reporters that have no LTIDs to report should still complete the LTID Registration form in order to be able to quickly Certify and report if or when they have a reporting requirement in the future.

# CAT CAIS LTID Open Issues List – As of 01/05/2021

## Release Planned/Workaround Provided

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Open	N/A	Using Private Line or Private Link, logout from MDP does not automatically logout user on CAIS – (SRG works fine)	Code Release	Medium	As a workaround, the user can navigate to CAIS and click the logout button. After 30 minutes of inactivity the user will be automatically logged out.  Fix: Release planning in progress.	As a workaround, the user can navigate to CAIS and click the logout button. After 30 minutes of inactivity the user will be automatically logged out.  Fix: Release planning in progress.	Reporter Portal
	Open	22020	Error code: 22020 – Errant field in feedback file – "largeTraderRecordID"	Code Release	Low	Fix: Release planning in progress.	Fix: Release planning in progress.	Reporter Portal

\*\*\* The Known Issues List is published on [www.catnmsplan.com](http://www.catnmsplan.com) under "Industry Member Specifications" \*\*\*

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# General Announcements & Reminders

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# FINRA CAT Reminders

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- CAT CAIS LTID Checkpoint Calls to be held monthly on Wednesdays at 4:15 E.T. – next call will be scheduled for 2/3
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at [catnmsplan.com](http://catnmsplan.com)

# How to Ask a Question during Today's Call

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- **For participants using computer audio:**
  - Click the “Raise Hand” button at the bottom of the participants window.
  - A visual prompt will indicate that your line has been unmuted.
- **For participants using phone audio:**
  - Enter \*9 on your phone keypad.
  - An audio prompt will indicate that your line has been unmuted.

# FINRA CAT Helpdesk

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