
Industry CAT CAIS LTID Test Release Status

June 9, 2021

Agenda

- Industry Test Release Update
- Open Issues List
- Recently Closed Issues
- Planned Enhancements
- General Announcements & Reminders
- Q&A

Industry CAT CAIS LTID Test Release Update

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

CAIS LTID Phase Statistics – May 31st – June 6th, 2021

Production Environment

	Monday, 5/31	Tuesday, 6/1	Wednesday, 6/2	Thursday, 6/3	Friday, 6/4	Saturday, 6/5	Sunday, 6/6
Number of Firms Registered					1,230		
Number of Firms Certified					981		
Number of Total Submitters	25	56	68	59	63	11	4
Number of Unique Firms	33	484	470	506	444	57	32
Number of Files Received	Total: 37 Reporter Portal: 1 SFTP: 36	Total: 889 Reporter Portal: 29 SFTP: 860	Total: 844 Reporter Portal: 34 SFTP: 810	Total: 846 Reporter Portal: 11 SFTP: 835	Total: 814 Reporter Portal: 23 SFTP: 791	Total: 64 Reporter Portal: 0 SFTP: 64	Total: 34 Reporter Portal: 0 SFTP: 34
Number of Files Rejected	1	30	5	27	2	0	1
File Reject Rate	2.70%	3.37%	0.60%	3.19%	0.25%	0.00%	2.94%

CAIS LTID Phase Statistics – May 31st – June 6th, 2021

Production Environment

	Monday, 5/31	Tuesday, 6/1	Wednesday, 6/2	Thursday, 6/3	Friday, 6/4	Saturday, 6/5	Sunday, 6/6
Records Accepted	476,624	893,579	2,351,508	2,416,752	2,535,653	266,271	447,081
Records Rejected	5	3,544	3,042	41	351	8	2
Records Submitted	476,629	897,123	2,354,550	2,416,793	2,536,004	266,279	447,083
Record Rejection Rate	0.00%	0.40%	0.13%	0.00%	0.01%	0.00%	0.00%

CAT CAIS LTID Open Issues List – As of 06/08/2021

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	Low	<p>Workaround: User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity.</p> <p>Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet.</p> <p>Fix: Release planning in progress.</p>	<p>Workaround: User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity.</p> <p>Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet.</p> <p>Fix: Release planning in progress.</p>	Reporter Portal
2	Open	N/A	OutOfMemoryError in Submission Engine. When attempting to compile feedback file, submission engine runs out of memory if too many rejections present.	Code Release	Medium	<p>Workaround: Rejections reported in feedback file restricted to 1000 and error code 23999 returned in feedback file.</p> <p>Fix: TBD</p>	<p>Workaround: Rejections reported in feedback file restricted to 1000 and error code 23999 returned in feedback file.</p> <p>Fix: TBD</p>	Submission Feedback File
3	Open	N/A	If a firm submits a file using a large number of duplicate fdid record ids, it can cause the submission to get hung up and not finish processing.	Code Release	Low	<p>Workaround: Review file to ensure no fdid record ids are duplicated.</p> <p>Fix: Update submission processing to ensure that files with large numbers of duplicate record ids process successfully and return errors for every duplicate record id.</p> <p>1.2.3 Deployment – 6/20/21</p>	<p>Workaround: Review file to ensure no fdid record ids are duplicated.</p> <p>Fix: Update submission processing to ensure that files with large numbers of duplicate record ids process successfully and return errors for every duplicate record id.</p> <p>1.2.3 Deployment – 6/20/21</p>	Reporter Portal

CAT CAIS LTID Open Issues List – As of 06/08/2021

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
4	NEW - Open	23001	Attempting to reactivate a previously ended FDID by clearing the stored fdidEndDate (fdidEndDateNULL: true), and updating the fdidDate with a date value greater than the previously stored fdidEndDate in the same submission file, generates an errant data validation error.	Code Release	Low	<p>Workaround: Perform two separate submissions to correct the data validation error. First submission: Set the fdidDate attribute to the currently stored value and set fdidEndDateNULL: true. Second submission: set the fdidDate attribute to the desired value.</p> <p>Fix: Update data validation logic to allow setting future fdidDate and fdidEndDateNull: true in the same submission file.</p> <p>1.2.5 Deployment – 8/15/21</p>	<p>Workaround: Perform two separate submissions to correct the data validation error. First submission: Set the fdidDate attribute to the currently stored value and set fdidEndDateNULL: true. Second submission: set the fdidDate attribute to the desired value.</p> <p>Fix: Update data validation logic to allow setting future fdidDate and fdidEndDateNull: true in the same submission file.</p> <p>1.2.5 Deployment – 8/15/21</p>	Reporter Portal
5	NEW – Open	N/A	Duplicate FDID rejections only showing one rejection to be repaired. Rejected counts will be greater than repaired + outstanding when this occurs.	Code Release	Low	1.2.5 Deployment – 8/15/21	1.2.5 Deployment – 8/15/21	Reporter Portal

CAT CAIS LTID Recently Closed Issues List – As of 06/08/2021

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Release Date	Production Environment Release Date	Area Affected
1	NEW - Closed	N/A	If a user uploads 2 files with the same file name in rapid succession, the first submission can get stuck. The second one will successfully process.	Code Release	Low	Completed on 5/23/2021	Completed on 5/23/2021	Reporter Portal
2	NEW - Closed	N/A	If a user presses the reset button on the manual submission screen in the CAIS Portal it will clear out the fdidRecordID.	Code Release	Low	Completed on 5/23/2021	Completed on 5/23/2021	Reporter Portal

CAT CAIS Planned Enhancements – Open

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	NEW - Open	N/A	CAT CAIS will be adding a sort on CRD for the CRD Selector within the CAIS Reporter Portal UI, so that users can more easily find a specific firm within the list of firms for which they can submit.	Code Release	Low	1.2.3 – 6/20/2021	1.2.3 – 6/20/2021	Reporter Portal
2	NEW - Open	N/A	Update Rejection screen for Submitters to only show rejections for FDIDs that they submitted	Code Release	Low	1.2.6 – 9/19/2021	1.2.6 – 9/19/2021	Reporter Portal

CAT CAIS Planned Enhancements – Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	NEW - Closed	N/A	CAT CAIS will allow SFTP users to delete any files within the feedback directory. This is agnostic of origin for the posted file - SFTP or UI - and may allow firms to delete UI posted files that a user hasn't downloaded the feedback for. This is consistent with the functionality of the Transaction system.	Code Release	Low	1.2.2 – 5/23/21	1.2.2 – 5/23/21	Reporter Portal / SFTP

CAT CAIS- Planned LTID Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	Open	Clarify that malformed LTID can be corrected by sending the same FDID with corrected LTID entry - does NOT require correctionAction message		V1.2.3

CAT CAIS-

Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	Open	Clarify that IF an SSN/ITIN/EIN is available for use as an Input Identifier for TID generation, it must be used even if other Foreign identifiers are also present		2.0r4
2	Open	Clarify that malformed LTID can be corrected by sending the same FDID with corrected LTID entry - does NOT require correctionAction message		2.0r4
3	Open	Update Inconsistencies Feedback File Name schema (§7.1.1) to include Submitter ID		2.0r4
4	Open	Update the Description for the ADVISER customer type to be consistent with FAQ 47		2.0r4

General Announcements & Reminders

FINRA CAT Announcements and Reminders

- Industry Test environment will be re-opened for Industry Member testing on June 28
- CAT CAIS LTID Checkpoint Calls to be held monthly on Wednesdays at 4:15 E.T. – the next call is scheduled for July 7
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com

FINRA CAT Helpdesk

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com

How to Ask a Question during Today's Call

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