

Consolidated Audit Trail

Customer and Account Information System
(CAIS)

Optional Group Field in Submission File Name

4/12/2022

CAIS File Submission Names

- A single submission to CAIS requires a paired set of a CAIS Data File and a Transformed Identifiers file.
- The CAIS Data and Identifiers files must be named in the following format:
<CAT Submitter ID>_<CAT Reporter CRD>_<File Generation Date>_[<Group>_]<File Kind>_<File Number>.<Format Extension>.<Compression Extension>
- The Group field is available for IMs to **optionally** populate, with up to 20 Alphanumeric characters. Examples of how a firm may use this field include:
 - A Clearing Firm including the Correspondent CRD, for reference on Rejections or Material Inconsistencies.
 - A firm including a tag, such as Rejection123, to note the submission file includes only a submission to repair or correct against a rejection with an ID of 123.
- Files generated through the Manual Form Submission within the CAIS Reporter Portal UI will populate a value of 'caisweb' for the Group field.

CAIS File Submission Name Examples

SFTP & File Upload

- Paired file name example that **excludes** the optional Group field:
 - 123_999_20220711_CAIS_123456.json.bz2
 - 123_999_20220711_TIDS_123456.json.bz2

- Example **including** the optional Group field (bolded for emphasis):
 - 123_999_20220711_**MyGroup**_CAIS_123456.json.bz2
 - 123_999_20220711_**MyGroup**_TIDS_123456.json.bz2

Manual Form Submission

- Example including the Group field from a Manual Form Submission (bolded for emphasis):
 - 123_999_20220711_**caisweb**_CAIS_123456.json.bz2
 - 123_999_20220711_**caisweb**_TIDS_123456.json.bz2

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.