
Industry CAT CAIS Release Status

September 21, 2022

Agenda

- Full CAIS Release Update
- Open Issues
- Planned Enhancements
- Specification Updates
- General Announcements & Reminders
- Q&A

Industry CAT Full CAIS Release Update

Industry Member Release Rollout – Pre-Full CAIS Production

Full CAIS Release 1 Industry Test – 1/31/2022 Production – 4/25/2022	Full CAIS Release 2a Industry Test – 3/28/2022 Production – 4/25/2022	Full CAIS Release 2b Industry Test – 4/11/2022 Production – 4/25/2022
<p>Ingestion</p> <ul style="list-style-type: none">• Industry Test Open for Machine-to-Machine File & Data Integrity Validations, Material Inconsistencies, and Feedback• Feedback file contains up to 1,000 Rejections <p>CAIS Reporter Portal</p> <ul style="list-style-type: none">• Manual File Upload• Manual Submission• Submission Feedback• Inconsistencies Feedback• Nightly Inconsistencies Report <p>Full CAIS Certification opened on 2/1/2022</p>	<p>Ingestion</p> <ul style="list-style-type: none">• New DRIVERLICENSE Foreign TID Type• EIN Validation changed to format validation• Feedback file enhanced to include all Rejections feedback <p>CAIS Reporter Portal</p> <ul style="list-style-type: none">• FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)	<p>Ingestion</p> <ul style="list-style-type: none">• Remove OTHBKR and CP <i>customerType</i> values for Legal Entity Customer Records• Remove BROKERAGE and ADVISED values for <i>accountType</i>• Remove <i>primeBrokerID</i> and <i>bankDepositoryID</i> fields and add a new <i>DVPCustodianID</i> field

Industry Member Release Rollout – Full CAIS Production

Full CAIS Release 3a
Industry Test – 5/25/2022
Production – 6/13/2022

Ingestion

- New Authorized Trader Names List on FDID record
- Increase *lastName* field length to 200 characters

Reports

- FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase

CAIS Reporter Portal

- FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase

Full CAIS Release 4
Industry Test – 6/26/2022
Production – 7/1/2022

Ingestion

- New OTHGOVT Foreign TID Type

Performance Enhancements

- CAIS file processing improvements

Minor Enhancements and Bug Fixes

Full CAIS Release 5
Industry Test – 9/19/2022
Production – 10/3/2022

Performance Enhancements

- CAIS file processing improvements

Minor Enhancements and Bug Fixes

CAIS Report Card Release

Report Card

- Full CAIS Compliance begins with the January Report Card published on February 15th, 2023
- Compliance Rates distinguished for Correspondent data

Industry Member Release Rollout – Planned Future Enhancements

Industry Test – TBD
Production – TBD

- INACTIVE End Reason
- Automated Transfer Procedure
- Optimization of error feedback

Full CAIS Phase Statistics – September 12th – September 18th, 2022

Industry Test Environment							
	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
Number of Total Submitters	24	30	28	29	29	0	0
Number of Unique Firms	83	154	102	124	44	0	0
Number of Files Received	Total: 206 Reporter Portal: 22 SFTP: 184	Total: 295 Reporter Portal: 31 SFTP: 264	Total: 474 Reporter Portal: 35 SFTP: 439	Total: 316 Reporter Portal: 13 SFTP: 303	Total: 132 Reporter Portal: 6 SFTP: 126	Total: 0 Reporter Portal: 0 SFTP: 0	Total: 0 Reporter Portal: 0 SFTP: 0
Number of Files Rejected	36	27	127	47	8	0	0
File Reject Rate	17.48%	9.15%	26.79%	14.87%	6.06%	0.00%	0.00%

Full CAIS Phase Statistics – September 12th – September 18th, 2022

Industry Test Environment

	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
FDID Records Accepted	191,962	10,952,377	8,674,030	738,399	919,491	0	0
FDID Records Rejected	6,733	687,701	790,601	207,446	119,195	0	0
FDID Records Submitted	198,695	11,640,078	9,464,631	945,845	1,038,686	0	0
FDID Record Rejection Rate	3.39%	5.91%	8.35%	21.93%	11.48%	0.00%	0.00%

Full CAIS Phase Statistics – September 12th – September 18th, 2022

Industry Test Environment

	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
Customer Records Accepted	86,003	11,790,900	10,580,039	514,997	1,025,963	0	0
Customer Records Rejected	24,623	876,812	795,824	192,171	107,559	0	0
Customer Records Submitted	110,626	12,667,712	11,375,863	707,168	1,133,522	0	0
Customer Record Rejection Rate	22.26%	6.92%	7.00%	27.17%	9.49%	0.00%	0.00%

Full CAIS Phase Statistics – September 12th – September 18th, 2022

Production Environment

	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
Number of Total Submitters	40	46	50	38	32	6	1
Number of Unique Firms	47	221	232	235	187	178	1
Number of Files Received	Total: 242 Reporter Portal: 163 SFTP: 79	Total: 1,462 Reporter Portal: 108 SFTP: 1,354	Total: 1,589 Reporter Portal: 61 SFTP: 1,528	Total: 1,545 Reporter Portal: 36 SFTP: 1,509	Total: 950 Reporter Portal: 25 SFTP: 925	Total: 1,226 Reporter Portal: 0 SFTP: 1,226	Total: 1 Reporter Portal: 0 SFTP: 1
Number of Files Rejected	3	14	11	34	17	6	0
File Reject Rate	1.24%	0.96%	0.69%	2.20%	1.79%	0.49%	0.00%

Full CAIS Phase Statistics – September 12th – September 18th, 2022

Production Environment

	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
FDID Records Accepted	289,854	852,881	11,343,458	2,104,332	534,892	459,335	276
FDID Records Rejected	11,942	34,453	1,911,531	318,186	38,182	33,444	0
FDID Records Submitted	301,796	887,334	13,254,989	2,422,518	573,074	492,779	276
FDID Record Rejection Rate	3.96%	3.88%	14.42%	13.13%	6.66%	6.79%	0.00%

Full CAIS Phase Statistics – September 12th – September 18th, 2022

Production Environment

	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
Customer Records Accepted	219,254	897,118	12,742,779	2,097,350	489,591	566,471	1
Customer Records Rejected	21,717	45,375	1,711,601	323,573	43,936	33,970	0
Customer Records Submitted	240,971	942,493	14,454,380	2,420,923	533,527	600,441	1
Customer Record Rejection Rate	9.01%	4.81%	11.84%	13.37%	8.24%	5.66%	0.00%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	<ul style="list-style-type: none">• Duplicate file• Paired Identifiers file not received• Unauthorized CAT Submitter ID• CAIS file not readable• Missing or invalid file <i>version</i>
FDID	<ul style="list-style-type: none">• FDID rejected because associated Customer was rejected• No Customer association with trading capabilities• Missing or invalid <i>priorCATReporterFDID</i>• Invalid format of Address Line• Multiple active roles for Customer within <i>fdidCustomerList</i>
Customer	<ul style="list-style-type: none">• Customer rejected because an associated FDID was rejected• Legal Entity CAT Customer reported with improper <i>tidType</i>• Multiple instances of Customer with differing data• Malformed TID record• Missing or invalid format of <i>yearOfBirth</i>

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 9/21/2022

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
1	Open	22041	Instances of CAIS Data feedback containing 22041 errors when the <i>customerRecordID</i> is present in the file on either a Natural Person or Legal Entity customer record, and the same <i>customerRecordID</i> has a malformed TID warning in the CAIS TIDS feedback. A 22048 error is expected instead of the 22041 error.	Code Release	Medium	Fix: 9/19/2022	Fix: 10/3/22	Data Validation
2	Open	N/A	Intermittent instances where feedback file versions are not correctly being generated for a submission. This issue may impact any version of both CAIS Data and TIDs feedback files. This issue also impacts LTID Phase (v1) reporting.	Code Release	Medium	Fix: 9/19/2022	Fix: 10/3/22	Feedback Files
3	Open	N/A	Instances when an error occurs for a customer record where the same CAT customer is reported with multiple <i>customerRecordID</i> values, SFTP feedback will include only one of the <i>customerRecordIDs</i> . The portal feedback will include all <i>customerRecordIDs</i> related to the error.	Code Release	Medium	Fix: TBD	<p>Workaround: All affected <i>customerRecordIDs</i> are displayed within the CAIS Reporter Portal UI.</p> <p>Fix: TBD</p>	Feedback Files

CAT Full CAIS Open Issues List – As of 9/21/2022

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
4	Open	N/A	Within the CAIS Reporter Portal Submission Report, counts of customer records repaired and outstanding are counted by TID rather than <i>customerRecordID</i> . Repaired and outstanding rejections counts may not match the count of records rejected.	Code Release	Low	Fix: 9/19/22	Fix: 10/3/22	Submission Report
5	Open	N/A	The 365-day grace period is currently only provided for 'IMPACTED' inconsistencies. This fix will apply the grace period to 'TRIGOTHER' inconsistencies as well.	Code Release	Medium	Fix: TBD	Fix: TBD	Inconsistencies
6	Open	N/A	The <i>customerRejectionEventID</i> conditional attribute within the CAIS Data Feedback File is not present for rejections against customer records.	Code Release	Low	Fix: TBD	Fix: TBD	Feedback Files
7	Open	N/A	High volumes of Rejections and Inconsistencies may result in a time-out on the UI before being displayed to the user. Limiting the number of Rejections and Inconsistencies available in the UI is under analysis.	Code Release	High	Fix: TBD	Fix: TBD	Reporter Portal

CAT Full CAIS Open Issues List – As of 9/21/2022

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
8	Open	N/A	Timestamps in the Nightly Inconsistencies Feedback File are in ISO format (e.g., 2022-08-01T23:29:29.971Z) instead of the Timestamp format prescribed in the CAIS Technical Specifications.	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Inconsistencies
9	Open	N/A	The <i>reporterCRD</i> attribute within the Nightly Inconsistencies Feedback File is being output as a String data type instead of Unsigned.	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Inconsistencies
10	Open	N/A	Instances of rejections and inconsistencies not being repaired due to database load backlog.	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Error Repairs and Inconsistencies
11	Open	N/A	Duplicate rows are present in the downloaded file when downloading the Rejections table from the Reporter UI.	Code Release	Low	Fix: TBD	Fix: TBD	Reporter UI
12	Open	22041, 22042, 22526	Incorrect error codes produced (22041, 22042) when a <i>customerRecordID</i> has an entry in the CAIS Data File but no entry in the TIDs File. 22526 is expected to be returned in this scenario.	Code Release	Medium	Fix: 9/19/22	Fix: 10/3/22	Feedback Files

CAT Full CAIS Open Issues List – As of 9/21/2022

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
13	Open	N/A	Files containing more than 6 Million total records (FDIDs + CAT Customers) may not return feedback in the times specified within the Full CAIS Technical Specifications.	Code Release	Medium	Fix: TBD	Fix: TBD	Feedback Files
14	Open	N/A	In the event a correction or deletion within the <i>correctionList</i> is rejected, the <i>failedRejectionID</i> attribute is missing from the CAIS Data Feedback file.	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Feedback Files
15	Open	N/A	The /reports directory is not being made available via SFTP in the Industry Test environment, and the FDID Version Report cannot be posted.	Code Release	Medium	Workaround: Access the FDID Version Report from within the CAIS Reporter Portal UI. Reports containing more than 200,000 FDIDs cannot be downloaded from the UI. Fix: 9/19/22	Fix: N/A	Reports
16	Open	22044	Intermittent instances of CAIS Data files resulting in an INCOMPLETE_PROCESSING_FAILURE status when the file contains FDID records with associations to more than one customer, and at least one of the associations does not have a populated <i>roleStartDate</i> .	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Data Validation

CAT Full CAIS Open Issues List – As of 9/21/2022

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
17	Open	23004, 23005, 22503, 22525	Instances of rejections being erroneously produced due to database ingest backlog.	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Error Repairs and Inconsistencies
18	Open	N/A	Unable to retrieve the FDID Reconciliation Report.	Code Release	Medium	Fix: 9/19/22	Fix: 10/3/22	Reports
19	Open	N/A	Intermittent instances where the CAIS data feedback file does not include all the feedback stages in <i>statusHistory</i> .	Code Release	Medium	Fix: TBD	Fix: TBD	Feedback Files
20	Open	30002, 30003, 30004	Nightly inconsistencies feedback and sentinel files are not being generated in the Test and Production Environments. As a result of this issue firms are not able to access the inconsistency feedback SFTP folders.	Code Release	High	Fix: 9/19/22	Fix: 10/3/22	Inconsistencies Feedback Files

CAT Full CAIS Open Issues List – As of 9/21/2022

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
21	NEW-Open	N/A	Triggered Inconsistencies are not appearing in Inconsistencies screen and the counts are not being displayed in the Submission Report as well as the Completed Submissions screens. Inconsistencies feedback file is not impacted by this issue.	Code Release	Medium	Fix Inconsistencies Screen: 9/22/2022 Fix Statistics Screens: TBD	Fix Inconsistencies Screen: No impact to Release 4 currently in Prod Fix Statistics Screens: TBD	Reporter Portal
22	NEW-Open	22523 22048	FDID and Customer Errors identified during processing may not include the related error codes 22048 and 22523. Related feedback and statistics are impacted.	Code Release	Medium	Fix: 9/22/2022	No impact to Release 4 currently in Prod	Data Validation
23	NEW-Open	24001 24005	Correction attempt with a <i>rejectionID</i> unknown to CAIS generates an incorrect warning of 24005 instead of 24001.	Code Release	Low	Fix: TBD	No impact to Release 4 currently in Prod	Data Validation
24	NEW-Open	N/A	User is presented with the “Error Loading Data: OK” error on the Rejections screen. However, the user is able to see the rejections data if any filter value is applied.	Code Release	Low	Fix: 9/22/2022	No impact to Release 4 currently in Prod	Reporter Portal
25	NEW-Open	N/A	FDID Version Report includes FDIDs that have been previously ended.	Code Release	Low	Fix: TBD	Fix: TBD	Reports

CAT Full CAIS Recently Closed Issues List

As of 9/21/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
1								

CAT CAIS Planned Enhancements – Open

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production/Production Mirror Environments Targeted Release Date	Area
1	Open	N/A	The Update button on a Manual Form Submission is enabled when viewing a previously added record. The button should be disabled until at least one field is updated by the user.	Code Release	Low	Fix: TBD	Fix: TBD	Manual Form Submission
2	Open	N/A	When selecting date values in the Manual Form Submission, the date is not selected when the user first clicks a date. The date is only selected on the second click.	Code Release	Low	Fix: TBD	Fix: TBD	Manual Form Submission
3	Open	N/A	Certain columns are not displayed in the Submission Report by default.	Code Release	Low	Workaround: User may add the columns to their view. Fix: TBD	Fix: TBD	Reporter Portal
4	Open	N/A	For both TRIG-SELF and TRIG-OTHER inconsistencies, the <i>materialInconsistencies</i> count within the Submission Inconsistencies Feedback File is 1 (e.g., "30003:1"). The count will be updated to 0 for TRIG-SELF inconsistencies and 1+ for TRIG-OTHER inconsistencies.	Code Release	Low	Fix: 9/19/22	Fix: 10/3/22	Feedback Files

CAT CAIS Planned Enhancements – Recently Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production/Production Mirror Environments Targeted Release Date	Area
1								

CAT CAIS-

Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod/Prod Mirror
1	Published	Add a new <i>fdidEndReason</i> value of 'INACTIVE' as option to end FDIDs that have had no CAT-reportable activity events (e.g., MENO, MEOR, MEOT, etc.) associated with the Account in the prior six months. For the purposes of periodic refresh requirements, monthly refresh report excludes any FDID with an <i>fdidEndReason</i> of 'INACTIVE' populated and an <i>fdidEndDate</i> set on or before the date of the report.	3/9/2022	2.0 r7	TBD	TBD
2	Open	Update the description of Error Code 22523 – Customer Record rejected because an associated FDID was rejected – to include that the Error Code is also returned in the event the Customer Record is not associated to at least one FDID within the submission file.	TBD	2.0 r10	N/A	N/A
3	Open	Update the October 11, 2022 date in the description of the <i>role</i> value of 'AUTH3RD' to be consistent with revised FAQ T7. Specifically, prior to June 12, 2023, this <i>role</i> may be used when the Industry Member itself has authority to place orders for the Account without prior approval of the account holder(s) and is not the holder of the account. Effective June 12, 2023, the <i>role</i> for the Industry Member must be reported as 'AUTHREP'.	TBD	2.0 r10	N/A	N/A
4	Open	Clarify the description of the <i>customerType</i> value of 'RIC' - Customer is a Registered Investment Company, as defined in the Investment Company Act of 1940 (15 U.S.C. § 80a-3(a)(1)), if maintained in the Industry Member's general customer and account records.	TBD	2.0 r10	N/A	N/A
5	Open	Update the definition of the sentinel file for the Nightly Inconsistencies scans to remove the .bz2 compression. The sentinel file does not contain any significant data and does not require the compression.	TBD	2.0r 10	N/A	N/A

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

CAT CAIS-

Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod/Prod Mirror
6	Open	Clarify that a total of 2,000 Customer Records can currently be associated with an FDID Record. Create an additional Error Code for more granularity on this validation, currently feedback provided under Error Code 23999 (Unhandled Exception).	TBD	2.0 r10	7/31/2022	8/8/2022
7	Open	Update the Table 17 and Table 18 entries for the file status of COMPLETED_FILE_TIMEOUT to include the status is also returned in the CAIS Data Feedback or TIDS Feedback files in the event the paired file is received but reaches a COMPLETED_INTEGRITY_ERROR state.	TBD	2.0r 10	N/A	N/A
8	Open	Clarify that the nightly inconsistencies scan feedback for Material Inconsistencies where the Industry Member is Impacted by submissions of another Industry Member is provided to the Impacted Industry Member no later than 8AM ET each processing day.	TBD	2.0 r10	N/A	N/A
9	Open	Remove <i>submissionStatus</i> from Submission Inconsistencies Feedback File.	TBD	2.0 r10	TBD	TBD
10	Open	Remove error code 22066 (<i>roleStartDate</i> set prior to <i>fdidDate</i>).	TBD	2.0 r10	7/31/2022	8/8/2022

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

CAT CAIS-

Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod/Prod Mirror
11	Open	Add warning code 24008 (Data Type Violation within <i>correctionList</i>) – present in LTID Specification but was not copied over to Full CAIS Specifications.	TBD	2.0 r10	N/A	N/A
12	Update-Published	Reduce the maximum SFTP file size limit from 100GB to 7GB.	9/20/2022	2.0 r9.2	N/A	N/A
13	Open	Update Table 19 to clarify that <i>updateNotifications</i> is a Main JSON Object.	TBD	2.0 r10	N/A	N/A
14	Open	Update Table 17 to clarify that <i>correspondentCRD</i> is only populated in the feedback file when <i>correspondentCRD</i> is populated in the submission file.	TBD	2.0 r10	N/A	N/A
15	Open	Update Table 17 to clarify that the data type for <i>addrType</i> is Choice rather than Text (2).	TBD	2.0 r10	N/A	N/A

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

General Announcements and Reminders

FINRA CAT Announcements and Reminders

- CAT CAIS Checkpoint Calls are being held weekly. The next call will be on September 28, 2022 at 4:15 pm ET.
- 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.

Appendix A: Industry CAT CAIS LTID Release Update

CAIS LTID Phase Statistics – September 12th – September 18th, 2022

Production Environment							
	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
Number of Total Submitters	29	36	35	34	33	1	3
Number of Unique Firms	196	419	402	422	427	237	3
Number of Files Received	Total: 212 Reporter Portal: 7 SFTP: 205	Total: 847 Reporter Portal: 6 SFTP: 841	Total: 828 Reporter Portal: 4 SFTP: 824	Total: 863 Reporter Portal: 19 SFTP: 844	Total: 863 Reporter Portal: 5 SFTP: 858	Total: 633 Reporter Portal: 1 SFTP: 632	Total: 4 Reporter Portal: 0 SFTP: 4
Number of Files Rejected	2	2	2	4	3	0	0
File Reject Rate	0.94%	0.24%	0.24%	0.46%	0.35%	0.00%	0.00%

CAIS LTID Phase Statistics – September 12th – September 18th, 2022

Production Environment

	Monday, 9/12	Tuesday, 9/13	Wednesday, 9/14	Thursday, 9/15	Friday, 9/16	Saturday, 9/17	Sunday, 9/18
Records Accepted	140,691	415,084	399,072	376,475	379,511	267,917	505
Records Rejected	33,580	33,680	33,645	33,665	33,657	177	1
Records Submitted	174,271	448,764	432,717	410,140	413,168	268,094	506
Record Rejection Rate	19.27%	7.51%	7.78%	8.21%	8.15%	0.07%	0.20%

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 <i>correctionAction</i> message	TBD	V1.2.3