Industry CAT CAIS Release Status

September 28, 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

Ingestion
- Industry Test Open for Machine-to-Machine File & Data Integrity Validations, Material Inconsistencies, and Feedback
- Feedback file contains up to 1,000 Rejections

CAIS Reporter Portal
- Manual File Upload
- Manual Submission
- Submission Feedback
- Inconsistencies Feedback
- Nightly Inconsistencies Report

Full CAIS Certification
opened on 2/1/2022

Full CAIS Release 2a
Industry Test – 3/28/2022
Production – 4/25/2022

Ingestion
- New DRIVERLICENSE Foreign TID Type
- EIN Validation changed to format validation
- Feedback file enhanced to include all Rejections feedback

CAIS Reporter Portal
- FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)

Full CAIS Release 2b
Industry Test – 4/11/2022
Production – 4/25/2022

Ingestion
- Remove OTHBKR and CP *customerType* values for Legal Entity Customer Records
- Remove BROKERAGE and ADVISED values for *accountType*
- Remove *primeBrokerID* and *bankDepositoryID* fields and add a new *DVPCustodianID* 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 19th – September 25th, 2022

	Monday, 9/19	Tuesday, 9/20	Wednesday, 9/21	Thursday, 9/22	Friday, 9/23	Saturday, 9/24	Sunday, 9/25
Industry Test Environment							
Number of Total Submitters	13	28	27	27	28	8	3
Number of Unique Firms	122	154	131	130	113	16	3
Number of Files Received	Total: 227 Reporter Portal: 2 SFTP: 226	Total: 625 Reporter Portal: 8 SFTP: 617	Total: 2,523 Reporter Portal: 6 SFTP: 2,517	Total: 450 Reporter Portal: 46 SFTP: 404	Total: 329 Reporter Portal: 26 SFTP: 303	Total: 499 Reporter Portal: 0 SFTP: 499	Total: 3 Reporter Portal: 0 SFTP: 3
Number of Files Rejected	19	72	25	110	26	6	0
File Reject Rate	8.37%	11.52%	0.99%	24.44%	7.90%	1.20%	0.00%

Full CAIS Phase Statistics –
September 19th – September 25th, 2022

Industry Test Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
FDID Records Accepted	1,999,378	1,338,860	2,910,529	2,190,043	1,338,775	111,775	6,456
FDID Records Rejected	48,119	280,786	1,178,637	353,948	359,984	320,876	70,732
FDID Records Submitted	2,047,497	1,619,646	4,089,166	2,543,991	1,698,759	432,651	77,188
FDID Record Rejection Rate	2.35%	17.34%	28.82%	13.91%	21.19%	74.17%	91.64%

Full CAIS Phase Statistics – September 19th – September 25th, 2022

Industry Test Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
Customer Records Accepted	1,963,096	1,571,322	2,915,101	1,614,019	1,084,096	229,726	3,320
Customer Records Rejected	60,527	277,163	1,605,922	423,683	518,532	380,145	71,278
Customer Records Submitted	2,023,623	1,848,485	4,521,023	2,037,702	1,602,628	609,871	74,598
Customer Record Rejection Rate	2.99%	14.99%	35.52%	20.79%	32.36%	62.33%	95.55%

Full CAIS Phase Statistics – September 19th – September 25th, 2022

Production Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
Number of Total Submitters	38	33	34	37	36	5	1
Number of Unique Firms	83	176	220	218	219	141	1
Number of Files Received	Total: 249 Reporter Portal: 26 SFTP:223	Total: 1,136 Reporter Portal: 63 SFTP: 1,073	Total: 1,155 Reporter Portal: 17 SFTP: 1138	Total: 899 Reporter Portal: 15 SFTP: 884	Total: 1,144 Reporter Portal: 45 SFTP: 1,099	Total: 1,035 Reporter Portal: 0 SFTP: 1,035	Total: 1 Reporter Portal: 0 SFTP: 1
Number of Files Rejected	8	8	13	8	8	2	0
File Reject Rate	3.21%	0.70%	1.13%	0.89%	0.70%	0.19%	0.00%

Full CAIS Phase Statistics – September 19th – September 25th, 2022

Production Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
FDID Records Accepted	749,773	604,052	653,693	514,997	578,500	490,965	0
FDID Records Rejected	83,293	36,931	56,365	58,275	47,404	49,760	3
FDID Records Submitted	833,066	640,983	710,058	533,676	625,904	540,725	3
FDID Record Rejection Rate	10.00%	5.76%	7.94%	10.92%	7.57%	9.20%	100.00%

Full CAIS Phase Statistics – September 19th – September 25th, 2022

Production Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
Customer Records Accepted	766,594	600,196	607,305	410,145	572,612	669,524	0
Customer Records Rejected	114,204	39,653	61,083	87,546	55,844	79,043	12
Customer Records Submitted	880,798	639,849	668,388	497,691	628,456	748,567	0
Customer Record Rejection Rate	12.97%	6.20%	9.14%	17.59%	8.89%	10.56%	100.00%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	• Duplicate file • Paired Identifiers file not received • Unauthorized CAT Submitter ID • CAIS file not readable • Missing or invalid file *version*
FDID	• FDID rejected because associated Customer was rejected • Missing *fdidCustomerList* • *roleEndDate* set prior to *roleStartDate* • No active Customer associations • *fdidEndDate* set prior to *fdidDate*
Customer	• Customer rejected because an associated FDID was rejected • Legal Entity CAT Customer reported with improper *tidType* • Malformed TID Record • Customer has an open material inconsistency and *updateNotification* was not set as true • *customerRecordID* not present in paired Identifiers file

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 9/28/2022 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 *customerRecordID* is present in the file on either a Natural Person or Legal Entity customer record, and the same *customerRecordID* 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 *customerRecordID* values, SFTP feedback will include only one of the *customerRecordIDs*. The portal feedback will include all *customerRecordIDs* related to the error.	Code Release	Medium	**Fix**: TBD	**Workaround**: All affected *customerRecordIDs* are displayed within the CAIS Reporter Portal UI. **Fix**: TBD	Feedback Files

CAT Full CAIS Open Issues List – As of 9/28/2022 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 *customerRecordID*. 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	Updated - 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	High	**Fix**: 10/31/22	**Fix**: 11/07/22	Inconsistencies
6	Open	N/A	The *customerRejectionEventID* 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 9/28/2022 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 *reporterCRD* 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 *customerRecordID* 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

*** The Known Issues List is published on www.catnmsplan.com under "Industry Member Specifications" ***

CAT Full CAIS Open Issues List – As of 9/28/2022 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 *correctionList* is rejected, the *failedRejectionID* 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 *roleStartDate*.	Code Release	High	**Fix**: 9/19/22	**Fix**: 10/3/22	Data Validation

*** The Known Issues List is published on www.catnmsplan.com under "Industry Member Specifications" ***

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CAT Full CAIS Open Issues List – As of 9/28/2022 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 *statusHistory*.	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 9/28/2022 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	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	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	Open	24001 24005	Correction attempt with a *rejectionID* 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	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	Open	N/A	FDID Version Report includes FDIDs that have been previously ended.	Code Release	Low	**Fix:** TBD	**Fix:** TBD	Reports

*** The Known Issues List is published on www.catnmsplan.com under "Industry Member Specifications" ***

CAT Full CAIS Recently Closed Issues List
As of 9/28/2022

#	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 *materialInconsistencies* 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 *fdidEndReason* 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 *fdidEndReason* of 'INACTIVE' populated and an *fdidEndDate* 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 *role* value of 'AUTH3RD' to be consistent with revised FAQ T7. Specifically, prior to June 12, 2023, this *role* 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 *role* for the Industry Member must be reported as 'AUTHREP'.	TBD	2.0 r10	N/A	N/A
4	Open	Clarify the description of the *customerType* 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 error code 22066 (*roleStartDate* set prior to *fdidDate*).	TBD	2.0 r10	7/31/2022	8/8/2022
10	Open	Add warning code 24008 (Data Type Violation within *correctionList*) – present in LTID Specification but was not copied over to Full CAIS Specifications.	TBD	2.0 r10	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
11	Open	Update Table 19 to clarify that *updateNotifications* is a Main JSON Object.	TBD	2.0 r10	N/A	N/A
12	Open	Update Table 17 to clarify that *correspondentCRD* is only populated in the feedback file when *correspondentCRD* is populated in the submission file.	TBD	2.0 r10	N/A	N/A
13	Open	Update Table 17 to clarify that the data type for *addrType* is Choice rather than Text (2).	TBD	2.0 r10	N/A	N/A
14	NEW- Open	• Table 17: Update the *statusHistory* to include COMPLETED_INTEGRITY_ERROR and INCOMPLETE_PROCESSING FAILURE. • Table 18: Update *statusHistory* to include COMPLETED_FILE_TIMEOUT and INCOMPLETE_PROCESSING_FAILURE. • Table 19: Update *submissionStatus* to include COMPLETED_WITH_REJECTIONS, COMPLETED_WITHOUT_REJECTIONS, and CANCELLED_BY_SUPPORT, as well as remove COMPLETED. Note: the *submissionStatus* attribute is slated for removal from the Submission Inconsistencies Feedback File in the future (effective date is TBD).	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

Full CAIS Technical Specifications Update

- [V2.0 r9.2](#) of the Full CAIS Technical Specifications for Industry Members was published on September 20, 2022.
  - Corrected maximum uncompressed size from 100GB to 7GB for files submitted through SFTP.

FINRA CAT Announcements and Reminders

- ➢ CAT CAIS Checkpoint Calls are being held weekly. The next call will be on October 5, 2022 at 4:15 pm ET.

- ➢ Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com

FINRA CAT Announcements and Reminders

➢ The CAIS Production and Production Mirror Environments will be unavailable from Friday, September 30, 2022, at 8pm ET through Monday, October 3, 2022, 8am ET for the CAIS Release 5 deployment.

➢ The Industry Test Environment will not be impacted.

Industry Member Timeline Design

Requirement	Date
Production Certification Deadline	July 25, 2022
Interim reporting obligation 1: CAT Submitters Partial Submissions. • For a single date within the range specified, complete a scheduled partial submission to the Prod Environment in Full CAIS Format. FINRA CAT will begin contacting CAT Submitters on August 1 to schedule their partial submission dates.	August 15 – September 15, 2022
Interim reporting obligation 2: All Industry Members – Submission of all FDIDs and Customers • For a single date within the range specified, complete a scheduled submission of the FDID Population with CAT-Reportable activity between June 12, 2022 and September 30, 2022 to the Prod Environment in Full CAIS format. FINRA CAT will begin contacting all Industry Members on October 3 to schedule their specific reporting date.	October 10 – October 31, 2022
Interim reporting obligation 3: Daily reporting of FDID and Customer Data • All Industry members must begin daily reporting of FDID records and changes/additions for all CAT-Reportable Activity beginning June 12, 2022 through at least September 30, 2022. Corrections to reported data are not required until Interim Reporting Obligation 4.	November 7, 2022
Interim reporting obligation 4:All outstanding Rejections and Material Inconsistences addressed • All outstanding rejections and Material Inconsistences for all CAT-reportable activity beginning June 12, 2022 are resolved.	December 5, 2022
Full CAIS Compliance date (Error correction timeline fully enforced) • All error repair and material inconsistency resolution deadlines are enforced.	December 12, 2022

▸ An Announcement was published and the Timeline was updated. Please see CAT Alert 2022-01 for more information.

SIFMA Test Updates

- Testing Connectivity environment is available – Requesting selected IMs to test their connectivity.

- SIFMA test will be held on Saturday October 15, 2022, from 8AM to2PM for Transaction and CAIS submitters.

- Checkpoint Calls will be scheduled for week of test with selected submitters.

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 19th – September 25th, 2022

Production Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
Number of Total Submitters	26	36	35	37	37	10	3
Number of Unique Firms	193	411	419	451	457	284	13
Number of Files Received	Total: 207 Reporter Portal: 3 SFTP: 204	Total: 822 Reporter Portal: 6 SFTP: 816	Total: 844 Reporter Portal: 3 SFTP: 841	Total: 875 Reporter Portal: 3 SFTP: 872	Total: 921 Reporter Portal: 17 SFTP: 904	Total: 701 Reporter Portal: 0 SFTP: 701	Total: 15 Reporter Portal: 0 SFTP: 15
Number of Files Rejected	2	2	2	3	2	0	0
File Reject Rate	0.97%	0.24%	0.24%	0.34%	0.22%	0.00%	0.00%

CAIS LTID Phase Statistics – September 19th – September 25th, 2022

Production Environment							
	Monday, 9/19	**Tuesday, 9/20**	**Wednesday, 9/21**	**Thursday, 9/22**	**Friday, 9/23**	**Saturday, 9/24**	**Sunday, 9/25**
Records Accepted	140,654	375,846	380,763	425,447	541,359	488,388	731
Records Rejected	33,504	33,772	33,688	33,700	33,701	225	0
Records Submitted	174,158	409,618	414,451	459,147	575,060	488,613	731
Record Rejection Rate	19.24%	8.24%	8.13%	7.34%	5.86%	0.05%	0.00%

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	TBD	V1.2.3