

# Industry Member Release Rollout – Pre-Full CAIS Production

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

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## 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

# Industry Member Release Rollout – Full CAIS Production

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| <p>Full CAIS Release 6<br/>Industry Test – 11/21/2022<br/>Production – 12/19/2022</p> <p><b>Bug Fixes</b></p> | <p>Full CAIS Release 6b<br/>Industry Test – 1/16/2023<br/>Production – 1/23/2023</p> <p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• Temporarily disable all Material Inconsistency validations (Inconsistency Codes 30002, 30003 and 30004)</li><li>• Temporarily disable related <i>updateNotification</i> validations (Error Codes 22503 and 22525)</li></ul> |
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# Industry Member Release Rollout – Full CAIS Production

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## CAIS Report Card Release

### **Report Card**

- The first Full CAIS Report Card will be published for the first full month following the Full CAIS Compliance Go-Live date.
- Compliance Rates distinguished for Correspondent data

# Industry Member Release Rollout – Planned Future Enhancements

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Industry Test – TBD  
Production – TBD

- INACTIVE End Reason will be made available prior to the periodic Customer & Account Information refresh
- Automated Transfer Procedure
- Optimization of error feedback
- Validate that *correspondentCRD* is a different identifier than the *catReporterCRD*