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# Industry CAT CAIS Release Status

February 15, 2023

# Agenda

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- Open Issues
- Planned Enhancements
- Specification Updates
- General Announcements & Reminders
- Q&A
- Appendix

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# **Industry CAT Full CAIS Release Update**

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# Industry Member Release Rollout – Pre-Full CAIS Production

<b>Full CAIS Release 1</b> Industry Test – 1/31/2022 Production – 4/25/2022	<b>Full CAIS Release 2a</b> Industry Test – 3/28/2022 Production – 4/25/2022	<b>Full CAIS Release 2b</b> Industry Test – 4/11/2022 Production – 4/25/2022
<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> 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>

# Industry Member Release Rollout – Pre-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

# Industry Member Release Rollout – Full CAIS Production

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<p>Full CAIS Release 6 Industry Test – 11/21/2022 Production – 12/19/2022</p> <p><b>Bug Fixes</b></p>	<p>Full CAIS Release 6b Industry Test – 1/16/2023 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*



# Full CAIS Phase Statistics – February 6<sup>th</sup> – February 12<sup>th</sup>, 2023

## Production Environment

	Monday, 2/6	Tuesday, 2/7	Wednesday, 2/8	Thursday, 2/9	Friday, 2/10	Saturday, 2/11	Sunday, 2/12
Number of Total Submitters	54	78	71	68	64	19	7
Number of Unique Firms	413	413	831	861	850	421	174
Number of Files Received	Total: 922 Reporter Portal: 20 SFTP: 902	Total: 2,459 Reporter Portal: 24 SFTP: 2,435	Total: 2,185 Reporter Portal: 23 SFTP: 2,162	Total: 2,438 Reporter Portal: 23 SFTP: 2,415	Total: 2,284 Reporter Portal: 24 SFTP: 2,260	Total: 1,173 Reporter Portal: 0 SFTP: 1,173	Total: 349 Reporter Portal: 0 SFTP: 349
Number of Files Rejected	31	53	36	45	32	18	3
File Reject Rate	3.36%	2.16%	1.65%	1.85%	1.40%	1.54%	0.86%

# Full CAIS Phase Statistics – February 6<sup>th</sup> – February 12<sup>th</sup>, 2023

## Production Environment

	Monday, 2/6	Tuesday, 2/7	Wednesday, 2/8	Thursday, 2/9	Friday, 2/10	Saturday, 2/11	Sunday, 2/12
FDID Records Accepted	1,066,416	2,435,308	4,863,355	2,252,236	2,166,971	1,263,266	640,295
FDID Records Rejected	90,976	285,362	246,433	271,706	245,881	106,913	10,469
FDID Records Submitted	1,157,392	2,720,670	5,109,788	2,523,942	2,412,852	1,370,179	650,764
FDID Record Rejection Rate	7.86%	10.49%	4.82%	10.77%	10.19%	7.80%	1.61%

# Full CAIS Phase Statistics – February 6<sup>th</sup> – February 12<sup>th</sup>, 2023

## Production Environment

	Monday, 2/6	Tuesday, 2/7	Wednesday, 2/8	Thursday, 2/9	Friday, 2/10	Saturday, 2/11	Sunday, 2/12
Customer Records Accepted	734,281	2,360,262	6,008,289	2,229,800	2,195,775	1,585,555	650,902
Customer Records Rejected	81,115	278,480	243,315	274,241	247,611	157,898	8,226
Customer Records Submitted	815,396	2,638,742	6,251,604	2,504,041	2,443,386	1,743,453	659,128
Customer Record Rejection Rate	9.95%	10.55%	3.89%	10.95%	10.13%	9.06%	1.25%

# Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	<ul style="list-style-type: none"><li>• Unauthorized CAT Submitter ID</li><li>• Paired Identifiers file not received</li><li>• Missing or Invalid FDID Record count</li><li>• Missing or invalid file version</li><li>• Duplicate File</li></ul>
FDID	<ul style="list-style-type: none"><li>• Associated Customer Record rejected</li><li>• Multiple active roles for Customer within <i>fdidCustomerList</i></li><li>• Missing <i>fdidCustomerList</i></li><li>• Missing ADDRESS1 type Address Record</li><li>• No active Customer associations</li></ul>
Customer	<ul style="list-style-type: none"><li>• Customer Record rejected because an associated FDID was rejected</li><li>• Missing or invalid <i>lastName</i></li><li>• Missing or invalid format of <i>yearOfBirth</i></li><li>• Multiple instances of Customer with differing data</li><li>• Missing or Invalid <i>city</i></li></ul>

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# Open Issues, Planned Enhancements, and Specification Updates

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# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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	N/A	Intermittent instances where rejections, inconsistencies details and repair credit may be incomplete on the reporter portal screens.  Rejections and Inconsistencies details are being delivered via feedback files.	TBD	High	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal
2	Open	23004, 23005, 24001, 24005	An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings.  Additionally, FDID Reconciliation Report may be impacted by this issue.	TBD	High	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Data Validation
3	Open	30002, 30003, 30004, 22503, 22525	An attempt to resolve a material inconsistency may incorrectly generate additional erroneous rejections and/or inconsistencies.  <b>FINRA CAT has temporarily disabled the Material Inconsistency and related updateNotification validations.</b>	TBD	High	<b>Deployed:</b> 01/16/2023  <b>Workaround/Guidance:</b> 1. Industry Members may ignore the outstanding Material Inconsistency Errors. 2. Industry Members may resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections.	<b>Deployed:</b> 01/23/2023  <b>Workaround/Guidance:</b> 1. Industry Members may ignore the outstanding Material Inconsistency Errors. 2. Industry Members may resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections.	Data Validation
4	Open	N/A	Intermittent instances where Rejections and Inconsistencies may result in an incomplete CSV download error or an error that prevents the file from downloading.	Code Release	High	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal

\*\*\* The Known Issues List is published on [www.catnmsplan.com](http://www.catnmsplan.com) under “Industry Member Specifications” \*\*\*

# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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
5	Open	N/A	Intermittent issues with filtering results on rejections and inconsistencies.	TBD	High	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal
6	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	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Feedback Files
7	Open	N/A	Submissions Report is displaying negative outstanding counts for rejections and inconsistencies. Also, the export is missing FDID accepted and FDID rejected columns.	Code Release	Medium	<b>Inconsistencies Fix:</b> 10/31/22 <b>Rejections Fix:</b> TBD	<b>Inconsistencies Fix:</b> 11/07/22 <b>Rejections Fix:</b> TBD	Reporter Portal
8	Open	N/A	Use of the Manual Submission within the Reporter Portal UI does not currently allow a user to enter extended text characters properly for the <i>accountName</i> field. Submission of extended text characters in the field via SFTP or upload of files within the Reporter Portal does allow for the extended text properly.	Code Release	Low	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal
9	Open	N/A	In instances when an attempt to repair is also rejected, the user can now filter for error identification dates, and the feedback will match the rejections on the reporter portal screen. However, the downloaded CSV file still displays the original error identification date or original submission ID for all the new rejections.	Code Release	Medium	<b>Filter Fix:</b> 1/16/23 <b>Download Fix:</b> TBD	<b>Filter Fix:</b> 1/23/23 <b>Download Fix:</b> TBD	Reporter Portal

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# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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
10	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 displays all <i>customerRecordIDs</i> related to the error.	Code Release	Medium	<b>Fix:</b> TBD <b>Specification Update:</b> TBD	<b>Fix:</b> TBD <b>Specification Update:</b> TBD	Feedback Files
11	Open	N/A	When a filter has been applied to the Rejections table, the CSV file downloaded includes all records in the table rather than only filtered records.	Code Release	Low	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal
12	Open	N/A	In limited instances, for dates 9/22/22 and 9/23/22, impacted inconsistencies were erroneously duplicated for the same Customer. Resolving one of them using the <i>updateNotification</i> does not resolve all of the Customer's outstanding Inconsistencies.	Data Fix	Low	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal



# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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	The <i>customerRejectionEventID</i> conditional attribute within the CAIS Data Feedback File is not present for rejections against customer records.  This field is displayed on the reporter portal as a 'Text' rather than 'Unsigned'.	Code Release	Low	Specification Update: TBD	Specification Update: TBD	Feedback Files Reporter Portal
14	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	Fix: N/A	Data Validation
15	Open	N/A	FDID Version Report includes FDIDs that have been previously ended.	Code Release	Low	Fix: TBD	Fix: TBD	Reports
16	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

# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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	22526, 22914	Incorrectly generating Error code 22526 ( <i>customerRecordID</i> not present in paired Identifiers file) instead of 22914 when the Paired TID Record fails validation.	Code Release	Medium	Fix: TBD	Fix: TBD	Data Validation
18	Open	30002, 30003, 30004	Intermittent instances where the CAIS system incorrectly generates subsequent nightly inconsistencies on customer records that have already been resolved with a prior submission.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
19	Open	N/A	Rejection feedback and material inconsistencies for files submitted as of 11/21/22 are currently unavailable in the CAT CAIS Industry Test environment reporter portal. This feedback is available via SFTP.	TBD	High	Fix: TBD	Fix: N/A	Reporter Portal
20	Open	N/A	Resolved rejections and inconsistencies continue to be displayed on the screens even after 10 days of resolution.	TBD	Low	Fix: TBD	Fix: TBD	Reporter Portal
21	Open	N/A	User is unable to filter on the submission date due to submission timestamp available in UTC format.	Code Release	Low	Fix: TBD	Fix: TBD	Reporter Portal

# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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
22	Open	22523	Intermittent instances of incorrectly generated error code 22523 (Customer Record rejected because an associated FDID was Rejected) where the firm is not able to resolve the error.	Code Release	Medium	Fix: TBD	Fix: TBD	Data Validation
23	Open	22016, 22015	Rejection feedback does not include the FDIDs being rejected in instances when the <i>ItidEffectiveDate</i> and/or <i>ItidEndDate</i> values are missing or not properly formatted. In such scenarios the customer record is rejected with the error code 22523 (Customer Record rejected because an associated FDID was Rejected).	Code Release	Medium	Fix: TBD	Fix: TBD	Data Validation
24	Open	Multiple	Incorrectly rejecting extended text data type fields when the field includes limited set of printable ASCII characters on extended range.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
25	Open	22034	Incorrectly generating error code 22034 (Data type violation – FDID) when submitting records with a <i>branchOfficeCRD</i> or <i>registeredRepCRD</i> using the Manual Submission Form.	TBD	Low	Fix: TBD	Fix: TBD	Data Validation
26	Open	N/A	Intermittent instances of rejection and inconsistency repairs not being properly reflected in the submissions report.	TBD	Medium	Fix: TBD	Fix: TBD	Reporter Portal

# CAT Full CAIS Open Issues List – As of 2/15/2023

## 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
27	Open	30004	Intermittent instances of incorrectly generating inconsistency code 30004 when the <i>TID Type</i> is not Foreign.	TBD	Low	Fix: TBD	Fix: TBD	Inconsistencies
28	Open	N/A	Incorrectly accepting submissions which include a prohibited delimiter in the <i>postalCode</i> field. These submissions should reject with a 22034 or 22522 error. Prohibited delimiters for Text fields are comma, pipe, double quote, and the '@' symbol.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
29	Open	N/A	Limited instances where one of the TIDS feedback versions is missing. Processing of the corresponding data files is not impacted by this issue.	TBD	Low	Fix: TBD	Fix: TBD	Feedback

# CAT Full CAIS Recently Closed Issues List

## As of 2/15/2023

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

# 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	<b>Fix:</b> TBD	<b>Fix:</b> 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	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Manual Form Submission
3	Open	N/A	Certain columns are not displayed in the Submission Report by default.	Code Release	Low	<b>Workaround:</b> User may add the columns to their view. <b>Fix:</b> TBD	<b>Fix:</b> N/A	Reporter Portal

# 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

# CAT CAIS-

## Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod/Prod Mirror
1	Open	Add a new <i>fdidEndReason</i> value of 'INACTIVE' and clarify in Section 3.8 that 'INACTIVE' will be available prior to the periodic full account refresh requirement.	TBD	2.0 r10	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	2.0 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
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	7/31/22	8/8/22
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	2.0 r10	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 ( <i>roleStartDate</i> set prior to <i>fdidDate</i> ).	TBD	2.0 r10	7/31/22	8/8/22
10	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

\* 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 <i>updateNotifications</i> is a Main JSON Object.	TBD	2.0 r10	N/A	N/A
12	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
13	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
14	Open	<ul style="list-style-type: none"> <li>Table 17: Update the <i>statusHistory</i> to include COMPLETED_INTEGRITY_ERROR and INCOMPLETE_PROCESSING_FAILURE.</li> <li>Table 18: Update <i>statusHistory</i> to include COMPLETED_FILE_TIMEOUT and INCOMPLETE_PROCESSING_FAILURE.</li> <li>Table 19: Update <i>submissionStatus</i> to include COMPLETED_WITH_REJECTIONS, COMPLETED_WITHOUT_REJECTIONS, and CANCELLED_BY_SUPPORT, as well as remove COMPLETED. Note: the <i>submissionStatus</i> attribute is slated for removal from the Submission Inconsistencies Feedback File in the future (effective date is TBD).</li> </ul>	TBD	2.0 r10	N/A	N/A
15	Open	Clarify the description of <i>customerType</i> value of 'BD' - Customer is a US registered Broker/Dealer, if maintained in the Industry Member's general customer and account records. Effective July 11, 2023, 'BD' must be populated for all US registered Broker/Dealer customer types, including for broker-dealer Customers that were not identified as 'BD' prior to July 11, 2023.	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
16	Open	Include Error Code 24917 in Table 27 (The transformed identifiers file contains a file level attribute that is not known under the reported specification version). This Error Code has been implemented in Production but was not published in the current specification version 2.0 r9.2.	TBD	2.0 r10	N/A	N/A
17	Open	Add correction of the corresponding data validation error code for Warning Code 24904 (Malformed TID Record - Missing or invalid <i>foreignTIDCountryCd</i> ) in Table 27. Warning Code 24904 maps to Error Code 22900 and not 22914 as reported in the current specification version 2.0 r9.2.	TBD	2.0 r10	N/A	N/A
18	NEW-Open	Clarify in the Explanation of Warning Code 24005 and in Section 6.5.2 "Data Validation Errors" that repairing for Error Code 22526 requires use of the <i>correctionList</i> . Use of the <i>correctionList</i> to repair for Error Code 22526 has been implemented in Production but was not published in the current specification version 2.0 r9.2.	TBD	2.0 r10	N/A	N/A

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

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# General Announcements and Reminders

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# CAIS Compliance Date Update

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Per the February 1, 2023 [Announcement](#), the Industry Member Compliance dates for Interim Reporting Obligation 4 and Full CAIS Compliance Go-Live, previously March 10 and March 17 respectively, will be moved to future dates to be announced shortly. The new dates are not anticipated to be before the second half of 2023 and will include sufficient time for Industry Members to correct errors once known issues that could impact their CAT reporting compliance obligations have been sufficiently remediated. Additional information is available in an updated [CAT Alert 2022-01](#).

- ✓ To remediate open issues impacting Industry Member feedback and tools, FINRA CAT will implement a series of releases throughout 2023. Each Industry Member impacting release will be announced prior to the Test and Production Environment deployments, along with the specific defects that are being remediated by each release.
- ✓ The first Full CAIS Report Card will be published for the first full month following the Full CAIS Compliance Go-Live date.

# FINRA CAT Announcements and Reminders

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- The next CAT CAIS Checkpoint call will be on Wednesday, February 22, 2023, at 4:15 pm ET.
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at [catnmsplan.com](https://catnmsplan.com).

# FINRA CAT Helpdesk

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Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or [help@finracat.com](mailto:help@finracat.com)

# How to Ask a Question during Today's Call

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- **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.



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# Appendix

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# Full CAIS Phase Statistics – February 6<sup>th</sup> – February 12<sup>th</sup>, 2023

Industry Test Environment							
	Monday, 2/6	Tuesday, 2/7	Wednesday, 2/8	Thursday, 2/9	Friday, 2/10	Saturday, 2/11	Sunday, 2/12
Number of Total Submitters	19	23	22	22	26	9	4
Number of Unique Firms	67	230	220	179	234	158	6
Number of Files Received	Total: 293 Reporter Portal: 3 SFTP: 290	Total: 722 Reporter Portal: 7 SFTP: 715	Total: 773 Reporter Portal: 2 SFTP: 771	Total: 590 Reporter Portal: 0 SFTP: 590	Total: 808 Reporter Portal: 11 SFTP: 797	Total: 1,185 Reporter Portal: 0 SFTP: 1,185	Total: 9 Reporter Portal: 0 SFTP: 9
Number of Files Rejected	138	114	114	110	158	8	3
File Reject Rate	47.10%	15.79%	14.75%	18.64%	19.55%	0.68%	33.33%

# Full CAIS Phase Statistics – February 6<sup>th</sup> – February 12<sup>th</sup>, 2023

## Industry Test Environment

	Monday, 2/6	Tuesday, 2/7	Wednesday, 2/8	Thursday, 2/9	Friday, 2/10	Saturday, 2/11	Sunday, 2/12
FDID Records Accepted	467,513	403,255	11,732,737	565,676	222,095	442,216	46
FDID Records Rejected	34,762	30,107	1,750,410	40,815	31,444	1,292	0
FDID Records Submitted	502,275	433,362	13,483,147	606,491	253,539	443,508	46
FDID Record Rejection Rate	6.92%	6.95%	12.98%	6.73%	12.40%	0.29%	0.00%

# Full CAIS Phase Statistics – February 6<sup>th</sup> – February 12<sup>th</sup>, 2023

## Industry Test Environment

	Monday, 2/6	Tuesday, 2/7	Wednesday, 2/8	Thursday, 2/9	Friday, 2/10	Saturday, 2/11	Sunday, 2/12
Customer Records Accepted	178,682	269,226	13,436,252	312,629	162,321	585,527	53
Customer Records Rejected	11,295	8,946	1,649,793	15,983	13,715	1,862	0
Customer Records Submitted	189,977	278,172	15,086,045	328,612	176,036	587,389	53
Customer Record Rejection Rate	5.95%	3.22%	10.94%	4.86%	7.79%	0.32%	0.00%