
Industry CAT CAIS Release Status

December 13, 2023

Agenda

- CAIS Releases
- Open Issues, Planned Enhancements and Planned Technical Specification Updates
- General Announcements and Reminders
- Q&A
- Appendix

CAIS Releases

CAIS Industry Member Release Rollout

Industry Test: 1/29/2024

Production: 2/26/2024

- Re-Enable Material Inconsistencies
- Deliver Outstanding Material Inconsistencies Feedback Files
- Deliver Outstanding Rejection Feedback Files
- Fix Known Issues (High/Med priority)
- Expand *correctionList*

In the Transaction System:

- Enable FDID Validations
- Deliver list of FDIDs accepted to Transaction Production that are not in CAIS Production

CAIS 2024 Release 2

Industry Test: TBD

Production: No later than
04/08/2024

- Material Inconsistencies Statistics screen
- Fix other Known Issues

CAIS Report Card Release

Report Card

- The first Full CAIS Report Card for the month of June 2024 will be published in July 2024
- Compliance Rates distinguished for Correspondent data

CAIS Statistics: December 4th – December 10th, 2023

| Production Environment | | | | | | | |
|----------------------------|--|--|--|--|--|---|---|
| | Monday, 12/4 | Tuesday, 12/5 | Wednesday, 12/6 | Thursday, 12/7 | Friday, 12/8 | Saturday, 12/9 | Sunday, 12/10 |
| Number of Total Submitters | 53 | 64 | 72 | 66 | 67 | 21 | 7 |
| Number of Unique Firms | 350 | 811 | 908 | 813 | 906 | 530 | 15 |
| Number of Files Received | Total: 799 Reporter Portal: 25 SFTP: 774 | Total: 2,193 Reporter Portal: 27 SFTP: 2,166 | Total: 2,595 Reporter Portal: 39 SFTP: 2,556 | Total: 2,209 Reporter Portal: 35 SFTP: 2,174 | Total: 2,704 Reporter Portal: 46 SFTP: 2,658 | Total: 1,926 Reporter Portal: 1 SFTP: 1,925 | Total: 24 Reporter Portal: 1 SFTP: 23 |
| Number of Files Rejected | 13 | 44 | 52 | 46 | 48 | 35 | 0 |
| File Reject Rate | 1.63% | 2.01% | 2.00% | 2.08% | 1.78% | 1.82% | 0.00% |

CAIS Statistics: December 4th – December 10th, 2023

| Production Environment | | | | | | | |
|----------------------------|--------------|---------------|-----------------|----------------|--------------|----------------|---------------|
| | Monday, 12/4 | Tuesday, 12/5 | Wednesday, 12/6 | Thursday, 12/7 | Friday, 12/8 | Saturday, 12/9 | Sunday, 12/10 |
| FDID Records Accepted | 1,488,907 | 3,597,995 | 2,337,080 | 2,791,618 | 2,163,261 | 3,147,354 | 2,366,470 |
| FDID Records Rejected | 41,800 | 120,582 | 238,154 | 153,695 | 150,302 | 304,462 | 351,931 |
| FDID Records Submitted | 1,530,707 | 3,718,577 | 2,575,234 | 2,945,313 | 2,313,563 | 3,451,816 | 2,718,401 |
| FDID Record Rejection Rate | 2.73% | 3.24% | 9.25% | 5.22% | 6.50% | 8.82% | 12.95% |

CAIS Statistics: December 4th – December 10th, 2023

| Production Environment | | | | | | | |
|--------------------------------|--------------|---------------|-----------------|----------------|--------------|----------------|---------------|
| | Monday, 12/4 | Tuesday, 12/5 | Wednesday, 12/6 | Thursday, 12/7 | Friday, 12/8 | Saturday, 12/9 | Sunday, 12/10 |
| Customer Records Accepted | 862,040 | 3,240,132 | 2,227,035 | 2,441,021 | 1,976,429 | 3,781,764 | 2,316,888 |
| Customer Records Rejected | 45,599 | 137,623 | 234,529 | 177,026 | 143,911 | 361,162 | 299,359 |
| Customer Records Submitted | 907,639 | 3,377,755 | 2,461,564 | 2,618,047 | 2,120,340 | 4,142,926 | 2,616,247 |
| Customer Record Rejection Rate | 5.02% | 4.07% | 9.53% | 6.76% | 6.79% | 8.72% | 11.44% |

CAIS Rejection Observations

| Rejection Source | Top Rejection Reasons |
|------------------|--|
| File | <ul style="list-style-type: none">• Unauthorized CAT Submitter ID• Paired Identifiers file not received• Duplicate File• Missing or Invalid CAT Submitter ID• Missing or Invalid Legal Entity Customer Record Count |
| FDID | <ul style="list-style-type: none">• FDID Record is rejected because an associated Customer Record was rejected• Multiple active roles for Customer within <i>fdidCustomerList</i>• Missing ADDRESS1 type Address Record• Missing or Invalid <i>city</i>• No Customer association with trading capabilities |
| Customer | <ul style="list-style-type: none">• Customer Record rejected because an associated FDID was rejected• Legal Entity CAT Customer reported with improper <i>tidType</i>• Missing or Invalid format of <i>yearOfBirth</i>• Missing or Invalid <i>city</i>• Multiple instances of Customer with differing data |

Open Issues, Planned Enhancements, and Planned Technical Specification Updates

CAIS Open Issues List – As of 12/13/2023

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 | Updated-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. Any rejections and repairs made for data submitted after these dates will be accurately reflected on the rejections screen. Users may still encounter this issue for prior rejections. | Code Release/Data Fix | High | Go-forward Fix: 06/05/2023 Data Fix: N/A | Go-Forward Fix: 06/26/2023 Data Fix: 02/26/2024 | Reporter Portal |
| 2 | Updated-Open | Multiple | An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings. | Code Release/Data Fix | High | Fix: 01/29/2024 | Fix: 02/26/2024 | Data Validation |
| 3 | Updated-Open | N/A | Intermittent instances where FDID Reconciliation Report may return stale information. Users may still encounter this issue for prior submissions. | Code Release/Data Fix | High | Go-forward Fix: 06/05/2023 Data Fix: N/A | Go-Forward Fix: 06/26/2023 Data Fix: 02/26/2024 | Reports |
| 4 | Updated-Open | 30002, 30003, 30004, 22503, 22525 | An attempt to resolve a material inconsistency may incorrectly generate additional erroneous rejections and/or inconsistencies. FINRA CAT has temporarily disabled the Material Inconsistency and related <i>updateNotification</i> validations. | Code Release | High | Deployed: 01/16/2023 Fix: 01/29/2024 Guidance: Industry Members should resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections. | Deployed: 01/23/2023 Fix: 02/26/2024 Guidance: Industry Members should resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections. | Data Validation |

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

CAIS Open Issues List – As of 12/13/2023

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 | Files containing more than 6 million total records (FDIDs + Customers) with multiple errors within the file may not return feedback in the times specified within the Full CAIS Technical Specifications. | Code Release | Low | Fix: TBD | Fix: TBD | Feedback Files |
| 6 | Open | N/A | Use of Manual Submission within the CAIS Reporter Portal 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 CAIS Reporter Portal does allow for the Extended Text properly. | Code Release | Low | Fix: TBD | Fix: TBD | Reporter Portal |
| 7 | Updated-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 | Fix: N/A | Fix: 02/26/2024 | Reporter Portal |
| 8 | Updated-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: 01/29/2024 | Fix: 02/26/2024 | Data Validation |

CAIS Open Issues List – As of 12/13/2023

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 |
|----|--------------|---------------------------|--|-----------------------|----------|--|--|-----------------|
| 9 | Updated-Open | 30002, 30003, 30004 | Intermittent instances where the CAIS system incorrectly generates subsequent impacted inconsistencies on customer records that have already been resolved with a prior submission. | Code Release | Low | Fix: 01/29/2024 | Fix: 02/26/2024 | Data Validation |
| 10 | Updated-Open | 22523 | Prior to 10/2/2022: Limited instances where Customer Records properly rejected with Error Code 22900 also erroneously received Error Code 22523. The 22523 rejections are currently unrepairable. | Code Release/Data Fix | Medium | Fix: N/A | Go-forward Fix: 10/3/2022 Data Fix: No later than 4/08/2024 Work around: Effective 2/26/2024, Industry Members can use the expanded <i>correctionList</i> to delete the unrepairable rejections | Data Validation |
| 11 | Open | 22034 | Incorrectly generating Error Code 22034 (Data type violation – FDID) when submitting records with a <i>branchOfficeCRD</i> or <i>registeredRepCRD</i> using manual submission in the CAIS Reporter Portal. | Code Release | Low | Fix: TBD | Fix: TBD | Data Validation |

CAIS Open Issues List – As of 12/13/2023

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 |
|----|--------------|------------|---|-----------------------|----------|--|--|------------------|
| 12 | Updated-Open | N/A | Intermittent instances of rejection and inconsistency repairs not being properly reflected in the submissions report. Any rejections and repairs made for data submitted after these dates will be accurately reflected on the rejections screen. Users may still encounter this issue for prior rejections. | Code Release/Data Fix | Medium | Go-forward Fix: 06/05/2023 Data Fix: N/A | Go-forward Fix: 06/26/2023 Data Fix: 02/26/2024 | Reporter Portal |
| 13 | Updated-Open | 30004 | Intermittent instances of incorrectly generating Inconsistency Code 30004 when the <i>Type</i> is not Foreign. | Code Release | Low | Fix: 01/29/2024 | Fix: 02/26/2024 | Inconsistencies |
| 14 | Open | N/A | Incorrectly accepting submissions that include an Extended Text character and/or 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 |
| 15 | Open | N/A | Limited instances where one of the TIDS feedback versions is missing. Processing of the corresponding CAIS Data Files is not impacted by this issue. | Code Release | Low | Fix: TBD | Fix: TBD | Feedback |
| 16 | Open | 22042 | Erroneously generating Error Code 22042 in instances where a single Customer is identified in the <i>fdidCustomerList</i> twice with roles that start and end on the same day, and the ended role is not listed first within the <i>fdidCustomerList</i> . | Code Release | Low | Fix: TBD Workaround: Within the <i>fdidCustomerList</i> , list the Customer's ended role first and the active role second. | Fix: TBD Workaround: Within the <i>fdidCustomerList</i> , list the Customer's ended role first and the active role second. | Data Validation |

CAIS Open Issues List – As of 12/13/2023

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 | 22071 | Erroneously accepting FDID Records with multiple Customers where at least one active Customer has a <i>role</i> indicating no trading capabilities (e.g., NTHOLDER) and at least one Customer with a <i>role</i> indicating trading capabilities (e.g., <i>role</i> of 'AUTHREP' and <i>hasDiscretion</i> is 'true') is no longer active (i.e., <i>roleEndDate</i> is populated with a current or past date). These records should be rejected with Error Code 22071. | Code Release | Medium | Fix: TBD | Fix: TBD | Data Validation |
| 18 | Updated-Open | 22502, 22522, 22528 | Limited instances of customer rejections that are not repairable. | Code Release/Data Fix | Medium | Go-forward Fix: 9/25/2023 Data Fix: No later than 4/08/2024 Work around: Effective 1/29/2024, Industry Members can use the expanded <i>correctionList</i> to delete the unrepairable rejections | Go-forward Fix: 10/23/2023 Data Fix: No later than 4/08/2024 Work around: Effective 2/26/2024, Industry Members can use the expanded <i>correctionList</i> to delete the unrepairable rejections | Data Validation |
| 19 | Open | N/A | In instances where a firm repairs a <i>firmDesignatedID</i> value that was duplicated, an <i>fdidRecordID</i> value that was duplicated, or a <i>customerRecordID</i> value that was duplicated within the original submission, the count of repaired FDIDs or Customers in the Submission Report is understated. | Code Release | Medium | Fix: TBD | Fix: TBD | Reporter Portal |
| 20 | Open | N/A | Intermittent instances where a single FDID or Customer Record that was rejected more than 500 times and has not been repaired, the Account Rejections and Customer Rejections screens incorrectly display a status of "Outstanding (0)". The number of outstanding rejections for the FDID or Customer Record should be populated with a number greater than zero. | Code Release | Medium | Fix: TBD | Fix: TBD | Reporter Portal |

CAIS Open Issues List – As of 12/13/2023

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 |
|----|------------------|------------|--|--------------|----------|--|---|--------------------|
| 21 | Updated- Open | N/A | Intermittent slowness when downloading a large number of rejections from the Portal. | Code Release | Low | Fix: 12/11/2023 | Fix: 02/26/2024 | Reporter Portal |

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: N/A | Reporter Portal |

Planned CAIS Technical Specification Updates

| # | Status | Summary | Publish Date | Spec Version | Effective Date - Test | Effective Date – Prod/Prod Mirror |
|---|------------|---|--------------|--------------|--------------------------|---|
| 1 | Open | Update the feedback examples in Section 6 to show the <i>customerRecordID</i> as an array: " <i>customerRecordID</i> ":[73] ; " <i>customerRecordID</i> ":[15] and " <i>customerRecordID</i> ":[99]. | 12/29/23 | 2.1 | 09/25/2023 | 10/23/2023 |
| 2 | Open | Error Code 22914 and 22501 will be added to the list of acceptable codes that can be repaired with a <i>correctionAction</i> of 'DELETE' or 'CORRECTION' within the <i>correctionList</i> . | 12/29/23 | 2.1 | 09/25/2023 | 10/23/2023 |
| 3 | New - Open | Remove the FDID Version Report section. | 12/29/23 | 2.1 | 08/30/2023 | 09/11/2023 |
| 4 | New - Open | Expand the <i>correctionList</i> to allow a <i>correctionAction</i> of 'DELETE' for all Data Validation Errors (Error Codes 22001 through 23999). | 12/29/23 | 2.1 | 01/29/2024 | 02/26/2024 |
| 5 | New - Open | Update the Material Inconsistencies Procedure to detail the new once daily process, new feedback file schema, and new Inconsistency Codes for Interfirm Material Inconsistencies (as detailed in the Part 2: CAIS Releases industry webinar). | 12/29/23 | 2.1 | 01/29/2024 | 02/26/2024 |

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

Planned CAIS Technical Specification Updates

| # | Status | Summary | Publish Date | Spec Version | Effective Date - Test | Effective Date – Prod/Prod Mirror |
|---|------------|---|--------------|--------------|--------------------------|---|
| 6 | New - Open | Add Warning Code 24009 to indicate that an attempt is being made to repair a <i>rejectionID</i> that has already been repaired. | 12/29/23 | 2.1 | 01/29/2024 | 02/26/2024 |
| 7 | New - Open | Retire Error Codes 22503 and 22525. | 12/29/23 | 2.1 | 01/29/2024 | 02/26/2024 |
| 8 | New - Open | Add the Outstanding Rejections Feedback File overview and schema (as detailed in the Part 1: CAIS Releases industry webinar). | 12/29/23 | 2.1 | 01/29/2024 | 02/26/2024 |

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

General Announcements and Reminders

CAIS Announcements

- ▶ The recordings and presentations from the [November 29, 2023](#) and [December 6, 2023](#), CAIS Releases webinars are available on the CAT [website](#).
 - New Outstanding Rejections feedback schema:
 - [Outstanding Rejections Metadata Feedback File Schema](#)
 - [Outstanding Rejections Data Feedback File Schema](#)
 - New Outstanding Material Inconsistencies feedback schema:
 - [Outstanding Material Inconsistencies Metadata Feedback File Schema](#)
 - [Outstanding Material Inconsistencies Data Feedback File Schema](#)
 - Field descriptions:
 - [Elements of Outstanding Rejections Metadata Feedback File](#)
 - [Elements of Outstanding Rejections Data Feedback File](#)
 - [Elements of Outstanding Material Inconsistencies Metadata Feedback File](#)
 - [Elements of Outstanding Material Inconsistencies Feedback File](#)

Announcements and Reminders

- ▶ The next [Monthly CAT Update](#) call will be on Tuesday, December 19, 2023, at 4:15 pm ET.
- ▶ The next [CAT CAIS Checkpoint](#) call will be on Wednesday, January 10, 2024, at 4:15 pm ET.

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

Full CAIS Phase Statistics – December 4th – December 10th, 2023

| Industry Test Environment | | | | | | | |
|----------------------------|---|---|---|---|---|---|---|
| | Monday, 12/4 | Tuesday, 12/5 | Wednesday, 12/6 | Thursday, 12/7 | Friday, 12/8 | Saturday, 12/9 | Sunday, 12/10 |
| Number of Total Submitters | 10 | 12 | 13 | 14 | 13 | 5 | 2 |
| Number of Unique Firms | 131 | 304 | 338 | 236 | 316 | 138 | 2 |
| Number of Files Received | Total: 296 Reporter Portal: 3 SFTP: 293 | Total: 714 Reporter Portal: 8 SFTP: 706 | Total: 901 Reporter Portal: 1 SFTP: 900 | Total: 668 Reporter Portal: 5 SFTP: 663 | Total: 2,057 Reporter Portal: 3 SFTP: 2,054 | Total: 1,135 Reporter Portal: 0 SFTP: 1,135 | Total: 2 Reporter Portal: 0 SFTP: 2 |
| Number of Files Rejected | 7 | 33 | 213 | 28 | 392 | 109 | 0 |
| File Reject Rate | 2.36% | 4.62% | 23.64% | 4.19% | 19.06% | 9.60% | 0.00% |

Full CAIS Phase Statistics – December 4th – December 10th, 2023

| Industry Test Environment | | | | | | | |
|----------------------------|--------------|---------------|-----------------|----------------|--------------|----------------|---------------|
| | Monday, 12/4 | Tuesday, 12/5 | Wednesday, 12/6 | Thursday, 12/7 | Friday, 12/8 | Saturday, 12/9 | Sunday, 12/10 |
| FDID Records Accepted | 115,901 | 188,413 | 121,025 | 106,417 | 306,605 | 348,369 | 17 |
| FDID Records Rejected | 21,723 | 6,734 | 24,359 | 44,786 | 295,117 | 39,384 | 35 |
| FDID Records Submitted | 137,624 | 195,147 | 145,384 | 151,203 | 601,722 | 387,753 | 52 |
| FDID Record Rejection Rate | 15.79% | 3.45% | 16.75% | 29.62% | 49.05% | 10.16% | 67.31% |

Full CAIS Phase Statistics – December 4th – December 10th, 2023

| Industry Test Environment | | | | | | | |
|--------------------------------|--------------|---------------|-----------------|----------------|--------------|----------------|---------------|
| | Monday, 12/4 | Tuesday, 12/5 | Wednesday, 12/6 | Thursday, 12/7 | Friday, 12/8 | Saturday, 12/9 | Sunday, 12/10 |
| Customer Records Accepted | 179,098 | 314,935 | 197,557 | 158,448 | 618,104 | 703,511 | 16 |
| Customer Records Rejected | 23,451 | 9,976 | 26,978 | 47,912 | 279,612 | 36,011 | 23 |
| Customer Records Submitted | 202,549 | 324,911 | 224,535 | 206,360 | 897,716 | 739,522 | 39 |
| Customer Record Rejection Rate | 11.58% | 3.07% | 12.02% | 23.22% | 31.15% | 4.87% | 58.97% |

Full CAIS Phase Statistics – November 27th – December 1st, 2023

| Production Environment | | | | | | | |
|----------------------------|--|--|--|--|--|---|---|
| | Monday, 11/27 | Tuesday, 11/28 | Wednesday, 11/29 | Thursday, 11/30 | Friday, 12/1 | Saturday, 12/2 | Sunday, 12/3 |
| Number of Total Submitters | 53 | 71 | 68 | 67 | 66 | 21 | 6 |
| Number of Unique Firms | 310 | 815 | 804 | 820 | 805 | 525 | 9 |
| Number of Files Received | Total: 751 Reporter Portal: 79 SFTP: 672 | Total: 2,242 Reporter Portal: 98 SFTP: 2,144 | Total: 2,324 Reporter Portal: 42 SFTP: 2,282 | Total: 2,711 Reporter Portal: 39 SFTP: 2,672 | Total: 2,150 Reporter Portal: 27 SFTP: 2,123 | Total: 1,689 Reporter Portal: 0 SFTP: 1,689 | Total: 20 Reporter Portal: 0 SFTP: 20 |
| Number of Files Rejected | 8 | 36 | 35 | 30 | 33 | 32 | 0 |
| File Reject Rate | 1.07% | 1.61% | 1.51% | 1.11% | 1.53% | 1.89% | 0.00% |

Full CAIS Phase Statistics – November 27th – December 1st, 2023

| Production Environment | | | | | | | |
|----------------------------|---------------|----------------|------------------|-----------------|--------------|----------------|--------------|
| | Monday, 11/27 | Tuesday, 11/28 | Wednesday, 11/29 | Thursday, 11/30 | Friday, 12/1 | Saturday, 12/2 | Sunday, 12/3 |
| FDID Records Accepted | 1,136,944 | 2,233,064 | 3,844,532 | 2,754,625 | 3,847,136 | 5,052,922 | 63,360 |
| FDID Records Rejected | 50,701 | 160,344 | 131,893 | 116,831 | 92,548 | 295,064 | 22 |
| FDID Records Submitted | 1,187,645 | 2,393,408 | 3,976,425 | 2,871,456 | 3,939,684 | 5,347,986 | 63,382 |
| FDID Record Rejection Rate | 4.27% | 6.70% | 3.32% | 4.07% | 2.35% | 5.52% | 0.03% |

Full CAIS Phase Statistics – November 27th – December 1st, 2023

| Production Environment | | | | | | | |
|--------------------------------|---------------|----------------|------------------|-----------------|--------------|----------------|--------------|
| | Monday, 11/27 | Tuesday, 11/28 | Wednesday, 11/29 | Thursday, 11/30 | Friday, 12/1 | Saturday, 12/2 | Sunday, 12/3 |
| Customer Records Accepted | 476,306 | 1,945,050 | 3,924,163 | 2,636,588 | 3,764,663 | 5,951,997 | 67,850 |
| Customer Records Rejected | 57,584 | 172,229 | 151,018 | 128,618 | 100,644 | 357,003 | 30 |
| Customer Records Submitted | 533,890 | 2,117,279 | 4,075,181 | 2,765,206 | 3,865,307 | 6,309,000 | 67,880 |
| Customer Record Rejection Rate | 10.79% | 8.13% | 3.71% | 4.65% | 2.60% | 5.66% | 0.04% |

Full CAIS Phase Statistics – November 20th – November 26th, 2023

| Production Environment | | | | | | | |
|----------------------------|--|--|--|---|---|---|---|
| | Monday, 11/20 | Tuesday, 11/21 | Wednesday, 11/22 | Thursday, 11/23 | Friday, 11/24 | Saturday, 11/25 | Sunday, 11/26 |
| Number of Total Submitters | 50 | 65 | 67 | 34 | 47 | 23 | 6 |
| Number of Unique Firms | 306 | 809 | 788 | 574 | 413 | 510 | 12 |
| Number of Files Received | Total: 637 Reporter Portal: 14 SFTP: 623 | Total: 2,113 Reporter Portal: 15 SFTP: 2,098 | Total: 2,040 Reporter Portal: 25 SFTP: 2,015 | Total: 1,634 Reporter Portal: 1 SFTP: 1,633 | Total: 811 Reporter Portal: 8 SFTP: 803 | Total: 1,315 Reporter Portal: 0 SFTP: 1,315 | Total: 64 Reporter Portal: 0 SFTP: 64 |
| Number of Files Rejected | 10 | 37 | 31 | 37 | 40 | 24 | 0 |
| File Reject Rate | 1.57% | 1.75% | 1.52% | 2.26% | 4.93% | 1.83% | 0.00% |

Full CAIS Phase Statistics – November 20th – November 26th, 2023

| Production Environment | | | | | | | |
|----------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
| | Monday, 11/20 | Tuesday, 11/21 | Wednesday, 11/22 | Thursday, 11/23 | Friday, 11/24 | Saturday, 11/25 | Sunday, 11/26 |
| FDID Records Accepted | 1,086,661 | 3,853,793 | 2,151,440 | 1,900,106 | 1,264,244 | 1,290,080 | 34,791 |
| FDID Records Rejected | 231,864 | 131,891 | 674,874 | 44,751 | 35,780 | 32,841 | 14 |
| FDID Records Submitted | 1,318,525 | 3,985,684 | 2,826,314 | 1,944,857 | 1,300,024 | 1,322,921 | 34,805 |
| FDID Record Rejection Rate | 17.59% | 3.31% | 23.88% | 2.30% | 2.75% | 2.48 | 0.04% |

Full CAIS Phase Statistics – November 20th – November 26th, 2023

| Production Environment | | | | | | | |
|--------------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
| | Monday, 11/20 | Tuesday, 11/21 | Wednesday, 11/22 | Thursday, 11/23 | Friday, 11/24 | Saturday, 11/25 | Sunday, 11/26 |
| Customer Records Accepted | 626,808 | 3,904,796 | 1,837,480 | 1,889,210 | 782,898 | 1,572,002 | 35,189 |
| Customer Records Rejected | 276,735 | 155,316 | 769,630 | 53,188 | 31,698 | 41,586 | 1,698 |
| Customer Records Submitted | 903,543 | 4,060,112 | 2,607,110 | 1,942,398 | 814,596 | 1,613,588 | 36,887 |
| Customer Record Rejection Rate | 30.63% | 3.83% | 29.52% | 2.74% | 3.89% | 2.58 | 4.60% |

Full CAIS Phase Statistics – November 13th – November 19th, 2023

| Production Environment | | | | | | | |
|----------------------------|--|--|--|--|--|---|---|
| | Monday, 11/13 | Tuesday, 11/14 | Wednesday, 11/15 | Thursday, 11/16 | Friday, 11/17 | Saturday, 11/18 | Sunday, 11/19 |
| Number of Total Submitters | 56 | 60 | 66 | 66 | 66 | 23 | 6 |
| Number of Unique Firms | 312 | 810 | 831 | 820 | 821 | 541 | 7 |
| Number of Files Received | Total: 694 Reporter Portal: 17 SFTP: 677 | Total: 2,197 Reporter Portal: 12 SFTP: 2,185 | Total: 2,265 Reporter Portal: 24 SFTP: 2,241 | Total: 2,194 Reporter Portal: 20 SFTP: 2,174 | Total: 2,120 Reporter Portal: 17 SFTP: 2,103 | Total: 1,481 Reporter Portal: 3 SFTP: 1,478 | Total: 11 Reporter Portal: 0 SFTP: 11 |
| Number of Files Rejected | 8 | 31 | 65 | 36 | 33 | 29 | 0 |
| File Reject Rate | 1.15% | 1.41% | 2.87% | 1.64% | 1.56% | 1.96% | 0.00% |

Full CAIS Phase Statistics – November 13th – November 19th, 2023

| Production Environment | | | | | | | |
|----------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
| | Monday, 11/13 | Tuesday, 11/14 | Wednesday, 11/15 | Thursday, 11/16 | Friday, 11/17 | Saturday, 11/18 | Sunday, 11/19 |
| FDID Records Accepted | 1,445,449 | 2,345,982 | 2,484,156 | 2,273,328 | 3,677,806 | 1,236,944 | 46,159 |
| FDID Records Rejected | 119,976 | 210,940 | 158,700 | 86,814 | 361,793 | 115,703 | 11 |
| FDID Records Submitted | 1,565,425 | 2,556,922 | 2,642,856 | 2,360,142 | 4,039,599 | 1,352,647 | 46,170 |
| FDID Record Rejection Rate | 7.66% | 8.25% | 6.00% | 3.68% | 8.96% | 8.55% | 0.02% |

Full CAIS Phase Statistics – November 13th – November 19th, 2023

| Production Environment | | | | | | | |
|--------------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
| | Monday, 11/13 | Tuesday, 11/14 | Wednesday, 11/15 | Thursday, 11/16 | Friday, 11/17 | Saturday, 11/18 | Sunday, 11/19 |
| Customer Records Accepted | 744,009 | 2,057,693 | 2,180,118 | 2,124,291 | 4,179,808 | 1,546,308 | 47,751 |
| Customer Records Rejected | 150,136 | 230,461 | 179,818 | 104,309 | 560,698 | 122,898 | 10 |
| Customer Records Submitted | 894,145 | 2,288,154 | 2,359,936 | 2,228,600 | 4,740,506 | 1,669,206 | 47,761 |
| Customer Record Rejection Rate | 16.79% | 10.07% | 7.62% | 4.68% | 11.83% | 7.36% | 0.02% |

Full CAIS Phase Statistics – November 6th – November 12th, 2023

| Production Environment | | | | | | | |
|----------------------------|--|--|--|--|--|---|---|
| | Monday, 11/6 | Tuesday, 11/7 | Wednesday, 11/8 | Thursday, 11/9 | Friday, 11/10 | Saturday, 11/11 | Sunday, 11/12 |
| Number of Total Submitters | 52 | 66 | 65 | 68 | 63 | 23 | 5 |
| Number of Unique Firms | 307 | 809 | 827 | 827 | 819 | 503 | 38 |
| Number of Files Received | Total: 666 Reporter Portal: 24 SFTP: 642 | Total: 2,410 Reporter Portal: 24 SFTP: 2,386 | Total: 2,337 Reporter Portal: 16 SFTP: 2,321 | Total: 2,279 Reporter Portal: 19 SFTP: 2,260 | Total: 2,362 Reporter Portal: 53 SFTP: 2,309 | Total: 1,293 Reporter Portal: 0 SFTP: 1,293 | Total: 107 Reporter Portal: 0 SFTP: 107 |
| Number of Files Rejected | 9 | 32 | 40 | 31 | 37 | 23 | 3 |
| File Reject Rate | 1.35% | 1.33% | 1.71% | 1.36% | 1.57% | 1.78% | 2.80% |

Full CAIS Phase Statistics – November 6th – November 12th, 2023

| Production Environment | | | | | | | |
|----------------------------|--------------|---------------|-----------------|----------------|---------------|-----------------|---------------|
| | Monday, 11/6 | Tuesday, 11/7 | Wednesday, 11/8 | Thursday, 11/9 | Friday, 11/10 | Saturday, 11/11 | Sunday, 11/12 |
| FDID Records Accepted | 1,121,326 | 10,309,265 | 4,420,330 | 2,408,036 | 2,285,604 | 1,147,949 | 69,639 |
| FDID Records Rejected | 32,143 | 264,741 | 333,123 | 154,061 | 173,995 | 123,861 | 278 |
| FDID Records Submitted | 1,153,469 | 10,574,006 | 4,753,453 | 2,562,097 | 2,459,599 | 1,271,810 | 69,917 |
| FDID Record Rejection Rate | 2.79% | 2.50% | 7.01% | 6.01% | 7.07% | 9.74% | 0.40% |

Full CAIS Phase Statistics – November 6th – November 12th, 2023

| Production Environment | | | | | | | |
|--------------------------------|--------------|---------------|-----------------|----------------|---------------|-----------------|---------------|
| | Monday, 11/6 | Tuesday, 11/7 | Wednesday, 11/8 | Thursday, 11/9 | Friday, 11/10 | Saturday, 11/11 | Sunday, 11/12 |
| Customer Records Accepted | 490,093 | 10,910,581 | 4,296,180 | 1,968,303 | 2,084,976 | 1,439,390 | 68,201 |
| Customer Records Rejected | 38,944 | 252,102 | 351,166 | 176,926 | 190,673 | 134,349 | 364 |
| Customer Records Submitted | 529,037 | 11,162,683 | 4,647,346 | 2,145,229 | 2,275,649 | 1,573,739 | 68,565 |
| Customer Record Rejection Rate | 7.36% | 2.26% | 7.56% | 8.25% | 8.38% | 8.54% | 0.53% |

Full CAIS Phase Statistics – October 30th – November 5th, 2023

| Production Environment | | | | | | | |
|----------------------------|--|--|--|--|--|---|---|
| | Monday, 10/30 | Tuesday, 10/31 | Wednesday, 11/1 | Thursday, 11/2 | Friday, 11/3 | Saturday, 11/4 | Sunday, 11/5 |
| Number of Total Submitters | 53 | 69 | 67 | 67 | 66 | 22 | 7 |
| Number of Unique Firms | 319 | 873 | 875 | 882 | 882 | 868 | 610 |
| Number of Files Received | Total: 743 Reporter Portal: 26 SFTP: 717 | Total: 2,705 Reporter Portal: 22 SFTP: 2,683 | Total: 2,621 Reporter Portal: 18 SFTP: 2,603 | Total: 2,600 Reporter Portal: 15 SFTP: 2,585 | Total: 2,228 Reporter Portal: 17 SFTP: 2,211 | Total: 1,695 Reporter Portal: 0 SFTP: 1,695 | Total: 17 Reporter Portal: 0 SFTP: 17 |
| Number of Files Rejected | 8 | 91 | 33 | 36 | 34 | 55 | 0 |
| File Reject Rate | 1.08% | 3.36% | 1.26% | 1.38% | 1.53% | 3.24% | 0.00% |

Full CAIS Phase Statistics – October 30th – November 5th, 2023

| Production Environment | | | | | | | |
|----------------------------|---------------|----------------|-----------------|----------------|--------------|----------------|--------------|
| | Monday, 10/30 | Tuesday, 10/31 | Wednesday, 11/1 | Thursday, 11/2 | Friday, 11/3 | Saturday, 11/4 | Sunday, 11/5 |
| FDID Records Accepted | 1,180,789 | 2,630,796 | 2,548,413 | 2,561,254 | 2,150,391 | 1,669,369 | 53,068 |
| FDID Records Rejected | 52,868 | 737,450 | 148,418 | 195,308 | 164,298 | 216,926 | 24 |
| FDID Records Submitted | 1,233,657 | 3,368,246 | 2,696,831 | 2,756,562 | 2,314,689 | 1,886,295 | 53,092 |
| FDID Record Rejection Rate | 4.29% | 21.89% | 5.50% | 7.09% | 7.10% | 11.50% | 0.05% |

Full CAIS Phase Statistics – October 30th – November 5th, 2023

| Production Environment | | | | | | | |
|--------------------------------|---------------|----------------|-----------------|----------------|--------------|----------------|--------------|
| | Monday, 10/30 | Tuesday, 10/31 | Wednesday, 11/1 | Thursday, 11/2 | Friday, 11/3 | Saturday, 11/4 | Sunday, 11/5 |
| Customer Records Accepted | 545,891 | 2,709,775 | 2,586,214 | 2,577,535 | 1,814,577 | 2,255,390 | 54,908 |
| Customer Records Rejected | 63,548 | 837,011 | 226,530 | 247,117 | 203,945 | 270,653 | 27 |
| Customer Records Submitted | 609,439 | 3,546,786 | 2,812,744 | 2,824,652 | 2,018,522 | 2,526,043 | 54,935 |
| Customer Record Rejection Rate | 10.43% | 23.60% | 8.05% | 8.75% | 10.10% | 10.71% | 0.05% |