Industry CAT CAIS Release Status

February 7, 2024

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: 01/29/2024
Production: 02/26/2024

- Re-Enable Material Inconsistencies
- Daily delivery of Outstanding Material Inconsistencies Feedback Files
- Retire Error Codes 22503 and 22525
- Daily delivery of Outstanding Rejections 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: 03/11/2024
Production: 04/08/2024

- Material Inconsistencies Statistics Screen
- Add File Group Number to Manual Submissions Review
- Correspondent CRD & Overall Compliance Error Rate (FDID + Customer) displayed on submission report
- Fix Known Issues (Med/Low Priority)

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

Full CAIS Phase Statistics – January 29th – February 4th, 2024

Production Environment							
	Monday, 1/29	**Tuesday, 1/30**	**Wednesday, 1/31**	**Thursday, 2/1**	**Friday, 2/2**	**Saturday, 2/3**	**Sunday, 2/4**
Number of Total Submitters	57	61	65	68	66	19	8
Number of Unique Firms	313	857	867	817	889	623	13
Number of Files Received	Total: 739 Reporter Portal: 35 SFTP: 704	Total: 2,249 Reporter Portal: 17 SFTP: 2,232	Total: 2,527 Reporter Portal: 55 SFTP: 2,472	Total: 2,163 Reporter Portal: 53 SFTP: 2,110	Total: 2,546 Reporter Portal: 150 SFTP: 2,396	Total: 1,687 Reporter Portal: 0 SFTP: 1,687	Total: 130 Reporter Portal: 0 SFTP: 130
Number of Files Rejected	16	29	29	29	31	21	0
File Reject Rate	2.17%	1.29%	1.15%	1.34%	1.22%	1.24%	0.00%

Full CAIS Phase Statistics – January 29th – February 4th, 2024

Production Environment							
	Monday, 1/29	**Tuesday, 1/30**	**Wednesday, 1/31**	**Thursday, 2/1**	**Friday, 2/2**	**Saturday, 2/3**	**Sunday, 2/4**
FDID Records Accepted	1,195,351	2,700,574	4,274,531	3,602,514	2,556,356	1,522,447	131,380
FDID Records Rejected	32,146	98,233	85,367	90,139	686,617	47,872	728
FDID Records Submitted	1,227,497	2,798,807	4,359,898	3,692,653	3,242,973	1,570,319	132,108
FDID Record Rejection Rate	2.62%	3.51%	1.96%	2.44%	21.17%	3.05%	0.55%

Full CAIS Phase Statistics – January 29th – February 4th, 2024

Production Environment							
	Monday, 1/29	**Tuesday, 1/30**	**Wednesday, 1/31**	**Thursday, 2/1**	**Friday, 2/2**	**Saturday, 2/3**	**Sunday, 2/4**
Customer Records Accepted	569,423	2,376,859	4,196,921	3,499,399	2,355,983	1,853,844	157,804
Customer Records Rejected	34,852	136,009	138,421	151,212	817,268	85,045	867
Customer Records Submitted	604,275	2,512,868	4,335,342	3,650,611	3,173,251	1,938,889	158,671
Customer Record Rejection Rate	5.77%	5.41%	3.19%	4.14%	25.75%	4.39%	0.55%

CAIS Rejection Observations

Rejection Source	Top Rejection Reasons
File	• Unauthorized CAT Submitter ID • Duplicate File • Paired Identifiers file not received
FDID	• FDID Record is rejected because an associated Customer Record was rejected • Multiple active roles for Customer within *fdidCustomerList* • Missing or Invalid *city* • Missing ADDRESS1 type Address Record • No Customer association with trading capabilities
Customer	• Customer Record rejected because an associated FDID was rejected • Multiple instances of Customer with differing data • Legal Entity CAT Customer reported with improper *tidType* • Missing or Invalid *lastName* • Missing or Invalid *firstName*

Open Issues, Planned Enhancements, and Planned Technical Specification Updates

CAIS Open Issues List – As of 2/7/2024
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. 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	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	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	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 *updateNotification* 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 2/7/2024
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	Updated-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 *accountName* 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: 03/11/2024**	**Fix: 04/08/2024**	Reporter Portal
7	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 *updateNotification* does not resolve all of the Customer's outstanding inconsistencies.	Data Fix	Low	**Fix: N/A**	**Fix: 02/26/2024**	Reporter Portal
8	Open	24001, 24005	Correction attempt with a *rejectionID* 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

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CAIS Open Issues List – As of 2/7/2024
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	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: 04/08/2024** **Work around:** Effective 2/26/2024, Industry Members can use the expanded *correctionList* to delete the unrepairable rejections	Data Validation
11	Updated-Open	22034	Incorrectly generating Error Code 22034 (Data type violation – FDID) when submitting records with a *branchOfficeCRD* or *registeredRepCRD* using manual submission in the CAIS Reporter Portal.	Code Release	Low	**Fix: 03/11/2024**	**Fix: 04/08/2024**	Data Validation

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CAIS Open Issues List – As of 2/7/2024
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	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	Open	30004	Intermittent instances of incorrectly generating Inconsistency Code 30004 when the *tidType* 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 *postalCode* 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	Updated-Open	N/A	Limited instances where one of the feedback versions is missing.	Code Release	Low	**Fix: 03/11/2024**	**Fix: 04/08/2024**	Feedback
16	Updated-Open	22042	Erroneously generating Error Code 22042 in instances where a single Customer is identified in the *fdidCustomerList* twice with roles that start and end on the same day, and the ended role is not listed first within the *fdidCustomerList*.	Code Release	Low	**Fix: 03/11/204** **Workaround:** Within the *fdidCustomerList*, list the Customer's ended role first and the active role second.	**Fix: 04/08/2024** **Workaround:** Within the *fdidCustomerList*, list the Customer's ended role first and the active role second.	Data Validation

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CAIS Open Issues List – As of 2/7/2024
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 *role* indicating no trading capabilities (e.g., NTHOLDER) and at least one Customer with a *role* indicating trading capabilities (e.g., *role* of 'AUTHREP' and *hasDiscretion* is 'true') is no longer active (i.e., *roleEndDate* 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: 03/11/2024** **Work around:** Effective 1/29/2024, Industry Members can use the expanded *correctionList* to delete the unrepairable rejections	**Go-forward Fix: 10/23/2023** **Data Fix: 04/08/2024** **Work around:** Effective 2/26/2024, Industry Members can use the expanded *correctionList* to delete the unrepairable rejections	Data Validation
19	Updated-Open	N/A	In instances where a firm repairs a *firmDesignatedID* value that was duplicated, an *fdidRecordID* value that was duplicated, or a *customerRecordID* 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: 03/11/2024**	**Fix: 04/08/2024**	Reporter Portal
20	Updated-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: 03/11/2024**	**Fix: 04/08/2024**	Reporter Portal

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CAIS Open Issues List – As of 2/7/2024
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	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
C2024-22	New-Open	N/A	Manual entry submissions between 7 p.m. Eastern Time and 12 a.m. Eastern Time results in a file integrity error due to incorrect handling of the timestamp. Manually entered records should be submitted prior to 7 p.m. Eastern Time or after 12 a.m. Eastern Time. Manual uploads via the CAIS Reporter Portal are not affected. Please note that after daylight savings, the time will change from 7 p.m. to 8 p.m. Eastern Time.	Code Release	Medium	Fix: 03/11/2024	Fix: 04/08/2024	Reporter Portal
C2024-23	New-Open	N/A	The associated customer count on the FDID Reconciliation Report includes both active and inactive customers. The count should only include active customers.	Code Release	Medium	Fix: 03/11/2024	Fix: 04/08/2024	Reporter Portal
C2024-24	New-Open	N/A	Reporter CRD dropdown on the Reporter Portal is erroneously limited to only 10 Reporting Relationships. Submitters with more than 10 Reporting Relationships cannot submit on behalf of or view statistics and errors for all their Reporting Relationships. Submissions made via SFTP and their feedback are not impacted.	Code Release	Medium	Fix: 02/07/2024	Fix: N/A	Reporter Portal

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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	New - Open	N/A	Make the group number available on the Manual Form Submission prior to submitting	Code Release	Low	**Fix:** 03/11/2024	**Fix:** 04/08/2024	Manual Form Submission

Planned CAIS Technical Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date – Prod/Prod Mirror
1	Open	Expand the *correctionList* to allow a *correctionAction* of 'DELETE' for all Data Validation Errors (Error Codes 22001 through 23999).	12/29/2023	2.1	01/29/2024	02/26/2024
2	Open	Retire Error Codes 22503 and 22525.	12/29/2023	2.1	01/29/2024	02/26/2024
3	Open	Add Warning Code 24009 to indicate that an attempt is being made to repair a *rejectionID* that has already been repaired.	TBD	TBD	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

Outstanding Rejections & Material Inconsistencies Data Feedback File

▶ Format of the Outstanding Rejections and Outstanding Material Inconsistencies Data Feedback Files available in Test Environment:

   ◦ Each line is an independent valid JSON Object (no comma between each line) vs. the whole file being a multi-line JSON Array.

   ◦ JSON Lines is a convenient format for storing structured data that may be processed one record at a time allowing for scalability and parallel processing when reading large volume files.

   ◦ This format is consistent with the existing Outstanding Linkage Errors file delivered in the Transaction System.

Observations: Outstanding Rejections & Material Inconsistencies

▶ Initial analysis reflects that the overall outstanding rejection rate of submitted data across both FDID and Customer Records as of 1/24/24 is 3.79%.

▶ Analysis of the historical Material Inconsistencies scan as of 1/24/24 reflects that less than 1% (.61%) of unique Customers have an outstanding Material Inconsistency.

◦ The analysis also reflects that the vast majority of Material Inconsistencies involve YOB with a very small percentage involving Legal Entities and Foreign Customers.

▶ FINRA CAT Helpdesk will be reaching out to Industry Members that are outliers to offer assistance.

Announcements and Reminders

- The next [Monthly CAT Update](#) call will be on Thursday, February 15, 2024, at 4:15 pm ET.

- The next [CAT CAIS Checkpoint](#) call will be on Wednesday, February 28, 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 –
January 29th – February 4th, 2024

Industry Test Environment							
	Monday, 1/29	**Tuesday, 1/30**	**Wednesday, 1/31**	**Thursday, 2/1**	**Friday, 2/2**	**Saturday, 2/3**	**Sunday, 2/4**
Number of Total Submitters	6	14	13	17	15	5	1
Number of Unique Firms	41	234	237	345	386	341	1
Number of Files Received	Total: 91 Reporter Portal: 2 SFTP: 89	Total: 754 Reporter Portal: 3 SFTP: 751	Total: 596 Reporter Portal: 1 SFTP: 595	Total: 665 Reporter Portal: 7 SFTP: 658	Total: 996 Reporter Portal: 2 SFTP: 994	Total: 856 Reporter Portal: 0 SFTP: 856	Total: 1 Reporter Portal: 0 SFTP: 1
Number of Files Rejected	14	7	18	45	40	32	0
File Reject Rate	15.38%	0.93%	3.02%	6.77%	4.02%	3.74%	0.00%

Full CAIS Phase Statistics – January 29th – February 4th, 2024

Industry Test Environment							
	Monday, 1/29	**Tuesday, 1/30**	**Wednesday, 1/31**	**Thursday, 2/1**	**Friday, 2/2**	**Saturday, 2/3**	**Sunday, 2/4**
FDID Records Accepted	110,752	211,027	129,700	120,630	224,966	280,375	1
FDID Records Rejected	2,997	10,429	13,693	9,274	14,381	5,707	0
FDID Records Submitted	113,749	221,456	143,393	129,904	239,347	286,082	1
FDID Record Rejection Rate	2.63%	4.71%	9.55%	7.14%	6.01%	1.99%	0.00%

Full CAIS Phase Statistics – January 29th – February 4th, 2024

Industry Test Environment							
	Monday, 1/29	**Tuesday, 1/30**	**Wednesday, 1/31**	**Thursday, 2/1**	**Friday, 2/2**	**Saturday, 2/3**	**Sunday, 2/4**
Customer Records Accepted	62,901	348,032	189,088	174,753	359,360	520,377	2
Customer Records Rejected	3,547	13,380	14,356	12,294	16,475	12,342	0
Customer Records Submitted	66,448	361,412	203,444	187,047	375,835	532,719	2
Customer Record Rejection Rate	5.34%	3.7%	7.06%	6.57%	4.38%	2.32%	0.00%

Full CAIS Phase Statistics –
January 22nd – January 28th, 2024

Production Environment							
	Monday, 1/22	**Tuesday, 1/23**	**Wednesday, 1/24**	**Thursday, 1/25**	**Friday, 1/26**	**Saturday, 1/27**	**Sunday, 1/28**
Number of Total Submitters	58	70	65	71	64	19	8
Number of Unique Firms	342	886	867	810	881	653	9
Number of Files Received	Total: 867 Reporter Portal: 106 SFTP: 761	Total: 2,340 Reporter Portal: 34 SFTP: 2,306	Total: 2,270 Reporter Portal: 30 SFTP: 2,240	Total: 2,124 Reporter Portal: 34 SFTP: 2,090	Total: 2,346 Reporter Portal: 34 SFTP: 2,312	Total: 1,735 Reporter Portal: 0 SFTP: 1,735	Total: 13 Reporter Portal: 0 SFTP: 13
Number of Files Rejected	51	31	31	32	34	21	0
File Reject Rate	5.88%	1.32%	1.37%	1.51%	1.45%	1.21%	0.00%

Full CAIS Phase Statistics – January 22nd – January 28th, 2024

Production Environment							
	Monday, 1/22	**Tuesday, 1/23**	**Wednesday, 1/24**	**Thursday, 1/25**	**Friday, 1/26**	**Saturday, 1/27**	**Sunday, 1/28**
FDID Records Accepted	2,425,701	2,712,792	2,354,152	2,592,151	2,663,262	2,068,379	48,207
FDID Records Rejected	38,125	95,235	96,038	126,344	126,281	107,893	16
FDID Records Submitted	2,463,826	2,808,027	2,450,190	2,718,495	2,789,543	2,176,272	48,223
FDID Record Rejection Rate	1.55%	3.39%	3.92%	4.65%	4.53%	4.96%	0.03%

Full CAIS Phase Statistics – January 22nd – January 28th, 2024

Production Environment							
	Monday, 1/22	**Tuesday, 1/23**	**Wednesday, 1/24**	**Thursday, 1/25**	**Friday, 1/26**	**Saturday, 1/27**	**Sunday, 1/28**
Customer Records Accepted	1,918,270	2,420,091	2,191,503	2,313,724	2,368,926	2,361,658	49,674
Customer Records Rejected	63,172	129,926	151,968	164,563	170,718	149,654	15
Customer Records Submitted	1,981,442	2,550,017	2,343,471	2,478,287	2,539,644	2,511,312	49,689
Customer Record Rejection Rate	3.19%	5.10%	6.48%	6.64%	6.72%	5.96%	0.03%

Full CAIS Phase Statistics – January 15th – January 21st, 2024

Production Environment							
	Monday, 1/15	**Tuesday, 1/16**	**Wednesday, 1/17**	**Thursday, 1/18**	**Friday, 1/19**	**Saturday, 1/20**	**Sunday, 1/21**
Number of Total Submitters	27	62	67	65	65	19	7
Number of Unique Firms	63	519	874	872	874	602	44
Number of Files Received	Total: 169 Reporter Portal: 5 SFTP: 164	Total: 1,700 Reporter Portal: 41 SFTP: 1,659	Total: 2,445 Reporter Portal: 19 SFTP: 2,426	Total: 2,368 Reporter Portal: 70 SFTP: 2,298	Total: 2,315 Reporter Portal: 27 SFTP: 2,288	Total: 1,594 Reporter Portal: 1 SFTP: 1,593	Total: 121 Reporter Portal: 2 SFTP: 119
Number of Files Rejected	35	821	33	34	37	23	3
File Reject Rate	20.71%	48.29%	1.35%	1.44%	1.60%	1.44%	2.48%

Full CAIS Phase Statistics – January 15th – January 21st, 2024

Production Environment							
	Monday, 1/15	**Tuesday, 1/16**	**Wednesday, 1/17**	**Thursday, 1/18**	**Friday, 1/19**	**Saturday, 1/20**	**Sunday, 1/21**
FDID Records Accepted	564,401	1,596,137	2,513,566	2,444,822	2,493,579	1,579,668	332,154
FDID Records Rejected	2,496	50,304	96,348	135,513	76,790	107,960	486
FDID Records Submitted	566,897	1,646,441	2,609,914	2,580,335	2,570,369	1,687,628	332,640
FDID Record Rejection Rate	0.44%	3.06%	3.69%	5.25%	2.99%	6.40%	0.15%

Full CAIS Phase Statistics – January 15th – January 21st, 2024

Production Environment							
	Monday, 1/15	**Tuesday, 1/16**	**Wednesday, 1/17**	**Thursday, 1/18**	**Friday, 1/19**	**Saturday, 1/20**	**Sunday, 1/21**
Customer Records Accepted	85,387	1,596,137	2,246,602	2,082,496	2,204,742	1,941,678	309,198
Customer Records Rejected	1,892	50,304	110,018	184,605	117,340	172,212	25,230
Customer Records Submitted	87,279	1,646,441	2,356,620	2,267,101	2,322,082	2,113,890	334,428
Customer Record Rejection Rate	2.17%	3.06%	4.67%	8.14%	5.05%	8.15%	7.54%

Full CAIS Phase Statistics – January 8ᵗʰ – January 14ᵗʰ, 2024

Production Environment							
	Monday, 1/8	**Tuesday, 1/9**	**Wednesday, 1/10**	**Thursday, 1/11**	**Friday, 1/12**	**Saturday, 1/13**	**Sunday, 1/14**
Number of Total Submitters	44	47	66	64	63	20	4
Number of Unique Firms	665	911	879	871	894	578	5
Number of Files Received	Total: 2,019 Reporter Portal: 24 SFTP: 1,995	Total: 2,925 Reporter Portal: 34 SFTP: 2,891	Total: 2,516 Reporter Portal: 30 SFTP: 2,486	Total: 2,266 Reporter Portal: 26 SFTP: 2,240	Total: 2,541 Reporter Portal: 24 SFTP: 2,517	Total: 1,658 Reporter Portal: 0 SFTP: 1,658	Total: 8 Reporter Portal: 0 SFTP: 8
Number of Files Rejected	40	224	35	36	37	28	0
File Reject Rate	1.98%	7.66%	1.39%	1.59%	1.46%	1.69%	0.00%

Full CAIS Phase Statistics – January 8th – January 14th, 2024

Production Environment							
	Monday, 1/8	**Tuesday, 1/9**	**Wednesday, 1/10**	**Thursday, 1/11**	**Friday, 1/12**	**Saturday, 1/13**	**Sunday, 1/14**
FDID Records Accepted	2,309,289	3,441,804	2,369,912	3,388,222	2,955,190	2,526,189	47,919
FDID Records Rejected	759,689	98,201	142,142	807,763	144,483	96,973	20
FDID Records Submitted	3,068,978	3,540,005	2,512,054	4,195,985	3,099,673	2,623,162	47,939
FDID Record Rejection Rate	24.75%	2.77%	5.66%	19.25%	4.66%	3.70%	0.042%

Full CAIS Phase Statistics –
January 8th – January 14th, 2024

Production Environment							
	Monday, 1/8	**Tuesday, 1/9**	**Wednesday, 1/10**	**Thursday, 1/11**	**Friday, 1/12**	**Saturday, 1/13**	**Sunday, 1/14**
Customer Records Accepted	1,740,323	3,175,244	1,977,369	3,128,140	2,638,386	2,939,441	48,942
Customer Records Rejected	839,602	121,417	148,284	878,086	176,800	104,223	13
Customer Records Submitted	2,579,925	3,296,661	2,125,653	4,006,226	2,815,186	3,043,664	48,955
Customer Record Rejection Rate	32.54%	3.68%	6.98%	21.92%	6.28%	3.42%	0.027%