

# Full CAIS Report Card Webinar

July 10, 2024

# Full CAIS Report Card

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- The first Full CAIS Report Card will be published on July 15, 2024, for the month of June 2024.
- Provides monthly and daily statistics for FDID, Customer and Material Inconsistencies.
- Compliance Error Rate includes FDID and Customer submission statistics. Material Inconsistencies statistics will be displayed on the report card but will not be included in the CAIS Compliance Error Rate.
- Statistics will be aggregated by Reporter CRD and Correspondent CRD.
- Tier Sizes and Peer Groups will be added after evaluating three months of Report Card Data.
- [CAIS Report Card Glossary](#) has been posted to the CAT NMS Website.

# Full CAIS Report Card

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Report Card Live Demo

# Full CAIS Report Card

- Reporting Feedback
- Error Corrections
- Report to CAT
- Reporting Relationships
- ATS Order Types
- Monthly Report Cards
- Contact Management
- Invoices
- CAIS

## Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD): (99999999)

EXPORT

Period: May 2024 | Version: 1 | Correspondent CRD: OVERALL

The CAIS Monthly Report Card assists CAT Reporters in monitoring compliance, as well as to support Regulators in their oversight functions. The [CAIS Report Card Glossary](#) published on the CAT NMS plan website provides a reference description for all of the elements found on the CAIS Monthly Report Card. For questions regarding the specific report, please call the FINRA CAT Helpdesk by phone at 888-696-3348 or email at [help@finracat.com](mailto:help@finracat.com)

### CAIS Compliance Summary

CATEGORY	COUNT/RATE
Firm CAIS Compliance Error Rate*	0.0218%
Firm CAIS Compliance Error Count	51
Processed Record Count	234,397
Days Exceeding 5% Compliance Error Rate	0
Tier	
Peer Group Compliance Error Rate	
Industry Compliance Error Rate	4.5484%

# Full CAIS Report Card

- Reporting Feedback
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## Monthly Report Cards

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### FDID Submission Details

STATUS	COUNT	RATE
<b>FDID Compliance</b>	<b>34</b>	<b>0.0372%</b>
Processed	91,505	
Accepted	91,406	
Rejected	99	0.1082%
Repaired	99	100.0000%
Late Repaired	34	34.3434%
Outstanding	0	0.0000%

# Full CAIS Report Card

- Reporting Feedback
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## Monthly Report Cards

Transaction Report Card

CAIS Report Card

Industry Member Firm Name (CRD): (99999999)

EXPORT

Period

Version

Correspondent CRD

May 2024

1

OVERALL

### Customer Submission Details

STATUS	COUNT	RATE
<b>Customer Compliance</b>	<b>17</b>	<b>0.0119%</b>
Processed	142,892	
Accepted	142,771	
Rejected	121	0.0847%
Repaired	121	100.0000%
Late Repaired	17	14.0496%
Outstanding	0	0.0000%

# Full CAIS Report Card

Reporting Feedback  
Error Corrections  
Report to CAT  
Reporting Relationships  
ATS Order Types  
Monthly Report Cards  
Contact Management  
Invoices

## Monthly Report Cards

Transaction Report Card | CAIS Report Card

Industry Member Firm Name (CRD): (99999999) EXPORT ▾

Period: May 2024 | Version: 1 | Correspondent CRD: OVERALL

<b>Material Inconsistencies Errors*</b>	1 ⓘ	0.3937% ⓘ
Total Material Inconsistencies	254	
<b>Intrafirm</b>	12	
Resolved	12	100.0000%
Late Resolved	0	0.0000%
Outstanding	0	0.0000%
<b>Interfirm</b>	242	
Resolved	242	100.0000%
Late Resolved	1	0.4132%
Outstanding	0	0.0000%

# Full CAIS Report Card

SELF

OVERALL

ALL CORRESPONDENTS

88888888

77777777

CAT Reporter Portal

8:44 PM ET  
07/09/2024

**THIS IS A QAINT ENVIRONMENT**  
(not intended for production use)

Perspective Reporter

on behalf of (99999999)  
Saravana Kandasamy (Internalppcompuser3)

## Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD): (99999999)

Period: May 2024 | Version: 1 | Correspondent CRD: OVERALL

EXPORT

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Tier	
Peer Group Compliance Error Rate	
Industry Compliance Error Rate	4.5484%

PDF (Print Friendly)

CSV (Monthly Data by Correspondents)

CSV (Daily Data by Correspondents)

- Reporting Feedback
- Error Corrections
- Report to CAT
- Reporting Relationships
- ATS Order Types
- Monthly Report Cards
- Contact Management
- Invoices
- CAIS



# Full CAIS Report Card

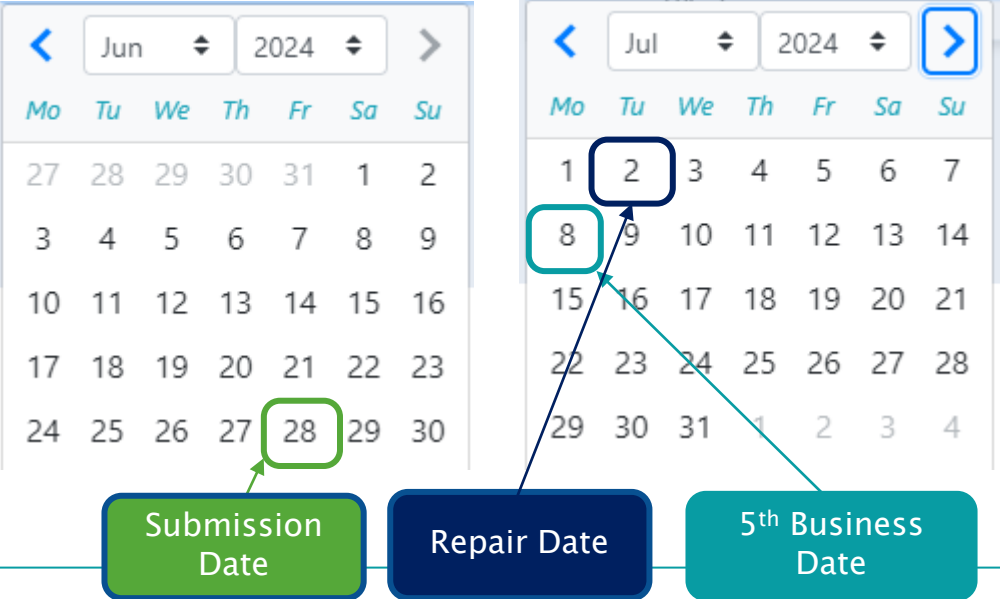
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## Reporting Examples

# Example 1 – Error in June Timely Repaired in July (June RC)

On **6/28/2024** - Firm A submitted an FDID with one Customer.  
 Both records were **rejected**. The repairs are due **7/2/2024** by 5 PM.

Firm A corrects the data and submits on **7/2/2024** prior to 5 PM, and  
 both records both accepted.



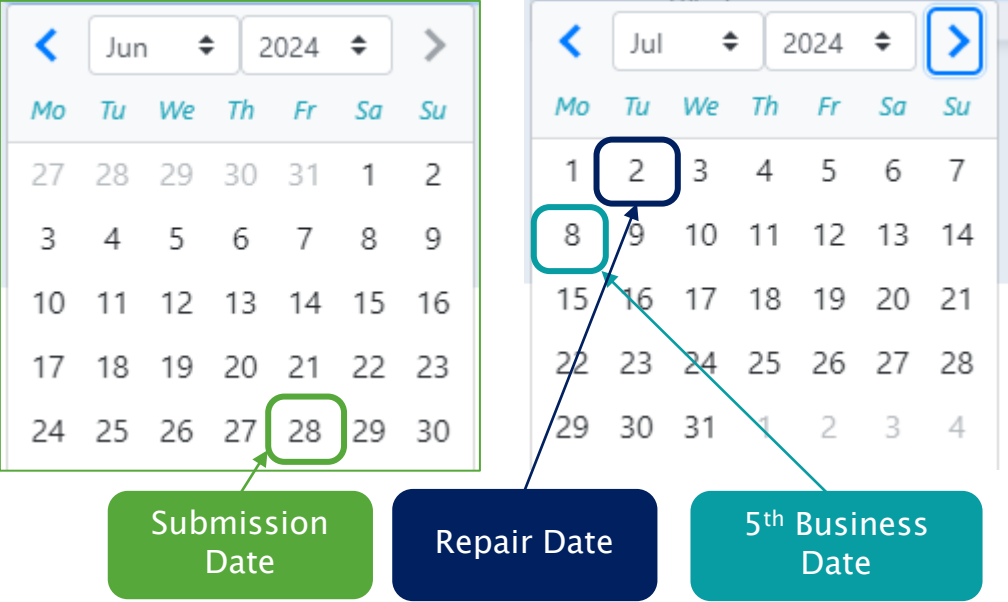
Firm A June 2024 Report Card

Metric	Value	Calculation
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	0	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	0	
FDID Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
FDID Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Customer Records Processed Count	1	Includes all submissions and repairs
Customer Records Accepted Count	0	Includes all submissions and repairs
Customer Late Repaired Records Count	0	
Customer Outstanding Records Count	0	
Customer Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
Customer Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Firm CAIS Compliance Error Rate	<b>0.000%</b>	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

# Example 1 – Error in June Timely Repaired in July (July RC)

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Firm A July 2024 Report Card

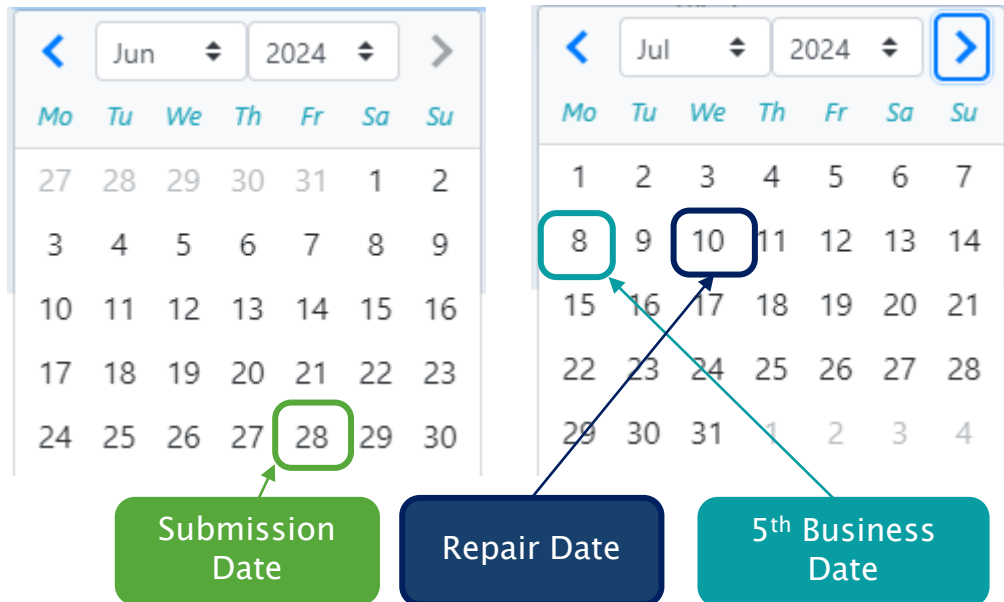
Metric	Value	Calculation
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	1	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	0	
FDID Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
FDID Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Customer Records Processed Count	1	Includes all submissions and repairs
Customer Records Accepted Count	1	Includes all submissions and repairs
Customer Late Repaired Records Count	0	
Customer Outstanding Records Count	0	
Customer Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
Customer Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Firm CAIS Compliance Error Rate	0.000%	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

# Example 2 – Error in June Late Repaired in July (June RC)

On **6/28/2024** - Firm A submitted an FDID with one Customer.

Both records were **rejected**. The repairs are due **7/2/2024** by 5 PM.

Firm A corrects the data and submits on **7/10/2024**, after the June Report Cards are generated, and the both records are **accepted**.



Firm A June 2024 Report Card

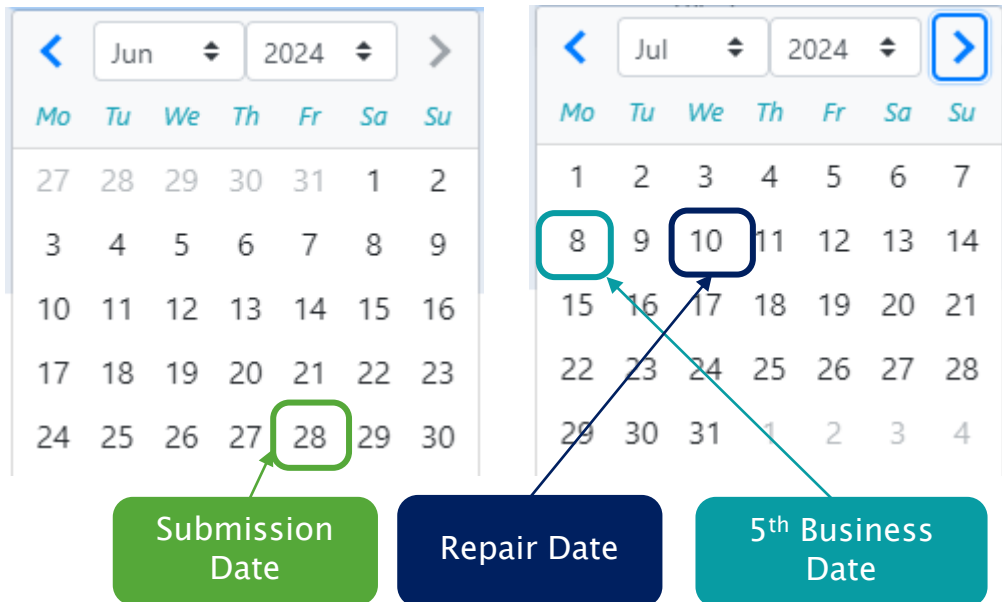
Metric	Value	Calculation
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	0	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	1	
FDID Compliance Error Count	1	= Late Accepted Records Count + Outstanding Repairable Record Count
FDID Compliance Error Rate	100.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Customer Records Processed Count	1	Includes all submissions and repairs
Customer Records Accepted Count	0	Includes all submissions and repairs
Customer Late Repaired Records Count	0	
Customer Outstanding Records Count	1	
Customer Compliance Error Count	1	= Late Accepted Records Count + Outstanding Repairable Record Count
Customer Compliance Error Rate	100.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Firm CAIS Compliance Error Rate	<b>100.000%</b>	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

# Example 2 – Error in June Late Repaired in July (July RC)

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Firm A corrects the data and submits on **7/10/2024**, after the June Report Cards are generated, and the records are both **accepted**.



Firm A July 2024 Report Card

Metric	Value	Calculation
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	1	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	0	
FDID Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
FDID Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Customer Records Processed Count	1	Includes all submissions and repairs
Customer Records Accepted Count	1	Includes all submissions and repairs
Customer Late Repaired Records Count	0	
Customer Outstanding Records Count	0	
Customer Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
Customer Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Firm CAIS Compliance Error Rate	<b>0.000%</b>	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

# Example 3– Errors in June and July (June RC)

On **6/28/2024** - Firm A submitted an FDID with one Customer.

Both records were **rejected**. The repairs are due **7/2/2024** by 5 PM.

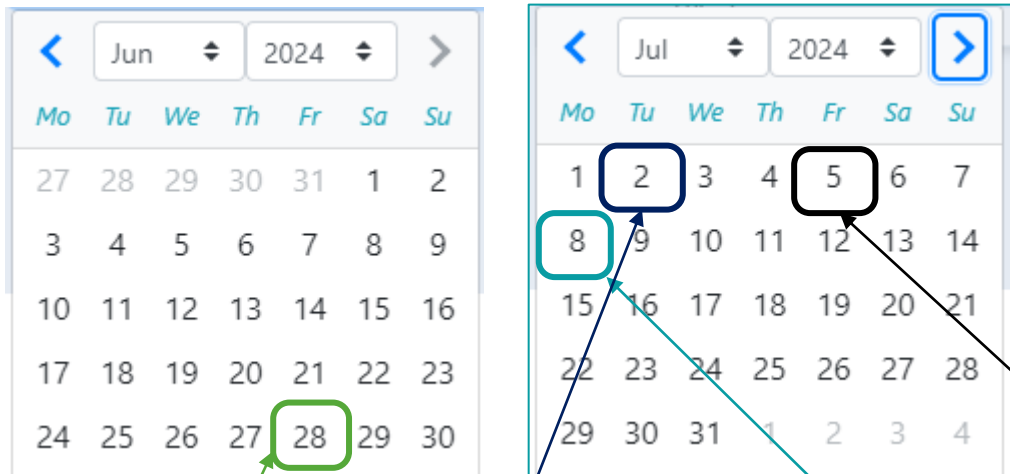
Firm A attempts to correct the data and submits on **7/2/2024** prior to 5 PM, but there is still an error with the records and they are **rejected** again.

The records retain the repair deadline of **7/2/2024** by 5 PM.

Firm A corrects the data and submits on **7/5/2024**, and both records are **accepted**.

Firm A June 2024 Report Card

Metric	Value	Calculation
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	0	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	0	
FDID Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
FDID Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Customer Records Processed Count	1	Includes all submissions and repairs
Customer Records Accepted Count	0	Includes all submissions and repairs
Customer Late Repaired Records Count	0	
Customer Outstanding Records Count	0	
Customer Compliance Error Count	0	= Late Accepted Records Count + Outstanding Repairable Record Count
Customer Compliance Error Rate	0.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Firm CAIS Compliance Error Rate	<b>0.000%</b>	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100



Submission Date

Repair Attempt

5<sup>th</sup> Business Date

Repair Successful

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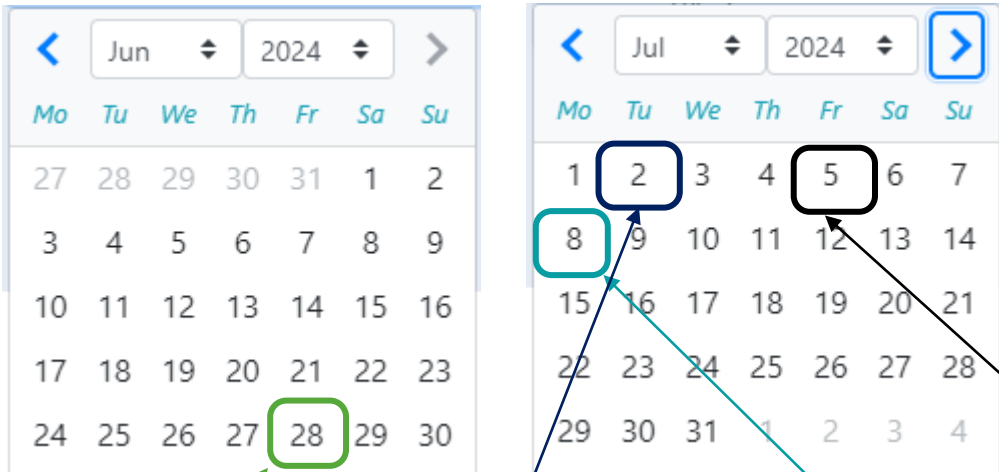
Firm A attempts to correct the data and submits on **7/2/2024** prior to 5 PM, but there is still an error with the records and they are **rejected** again.

The records retain the repair deadline of **7/2/2024** by 5 PM.

Firm A corrects the data and submits on **7/5/2024**, and both records are **accepted**.

Firm A July 2024 Report Card

Metric	Value	Calculation
FDID Records Processed Count	2	Includes all submissions and repairs
FDID Records Accepted Count	1	Includes all submissions and repairs
FDID Late Repaired Records Count	1	
FDID Outstanding Records Count	0	
FDID Compliance Error Count	1	= Late Accepted Records Count + Outstanding Repairable Record Count
FDID Compliance Error Rate	50.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Customer Records Processed Count	2	Includes all submissions and repairs
Customer Records Accepted Count	1	Includes all submissions and repairs
Customer Late Repaired Records Count	1	
Customer Outstanding Records Count	0	
Customer Compliance Error Count	1	= Late Accepted Records Count + Outstanding Repairable Record Count
Customer Compliance Error Rate	50.000%	= (Compliance Error Records Count / Processed Records Count) * 100
Firm CAIS Compliance Error Rate	<b>50.000%</b>	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100



Submission Date

Repair Attempt

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Repair Successful

# 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 participant's 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



# 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)