Full CAIS Report Card Webinar

July 10, 2024

Full CAIS Report Card

➢ 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

Report Card Live Demo

Full CAIS Report Card

Full CAIS Report Card

Full CAIS Report Card

Full CAIS Report Card

Monthly Report Cards

Transaction Report Card	CAIS Report Card

Industry Member Firm Name (CRD): **(99999999)**

EXPORT ⌄

Period	Version	Correspondent CRD
May 2024 ▾	1	OVERALL ▾

Material Inconsistencies Errors*	1 ⑦	**0.3937%** ⑦
Total Material Inconsistencies	254	
Intrafirm	**12**	
Resolved	12	100.0000%
Late Resolved	0	0.0000%
Outstanding	0	0.0000%
Interfirm	**242**	
Resolved	242	100.0000%
Late Resolved	1	0.4132%
Outstanding	0	0.0000%

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Full CAIS Report Card

Full CAIS Report Card

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.

Submission Date

Repair Date

5th Business Date

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	**0.000%**	= (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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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

Submission Date

Repair Date

5th Business Date
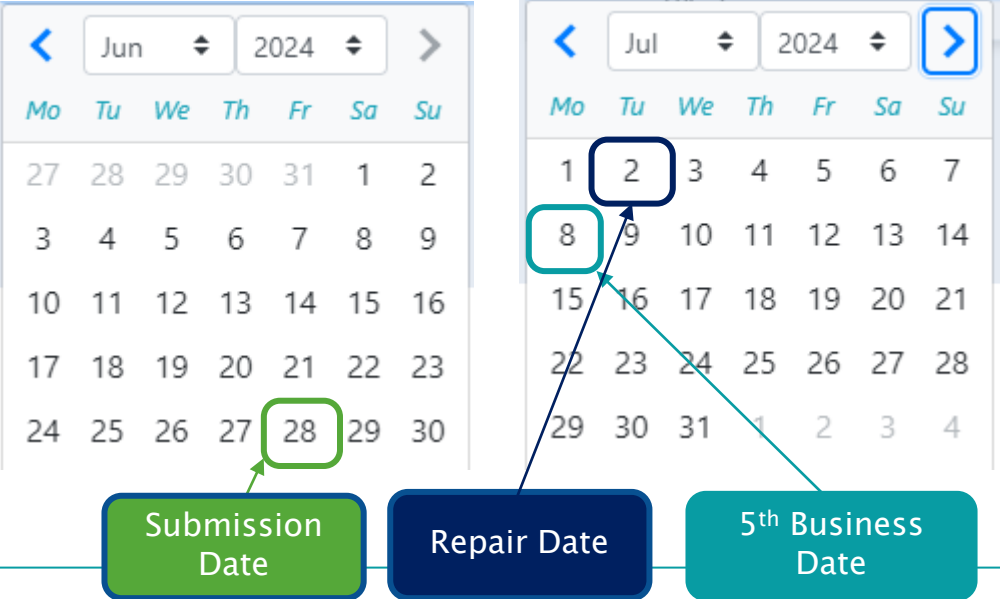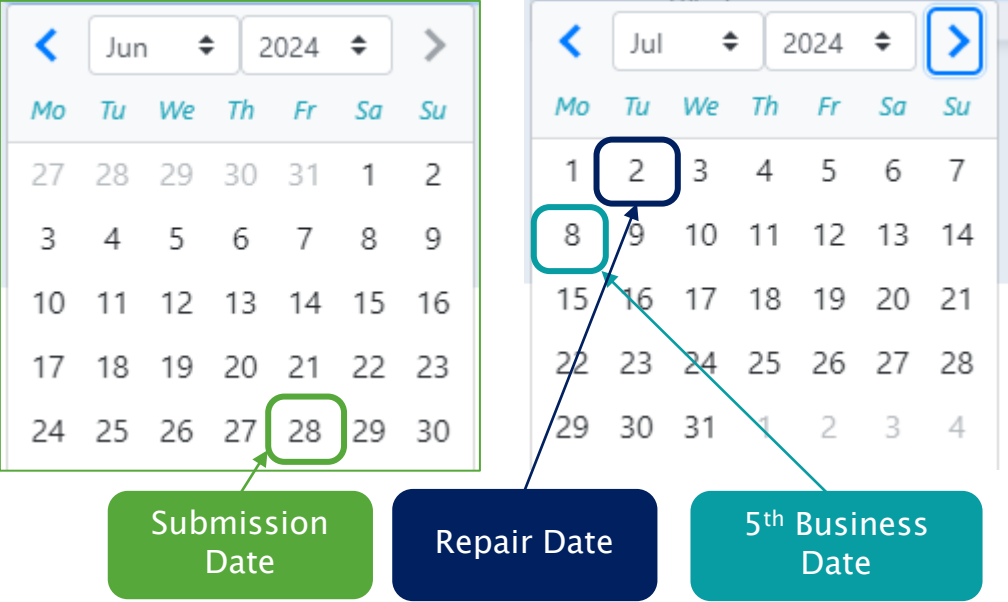
Example 2 – Error in June Late Repaired in July (June RC)

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**.

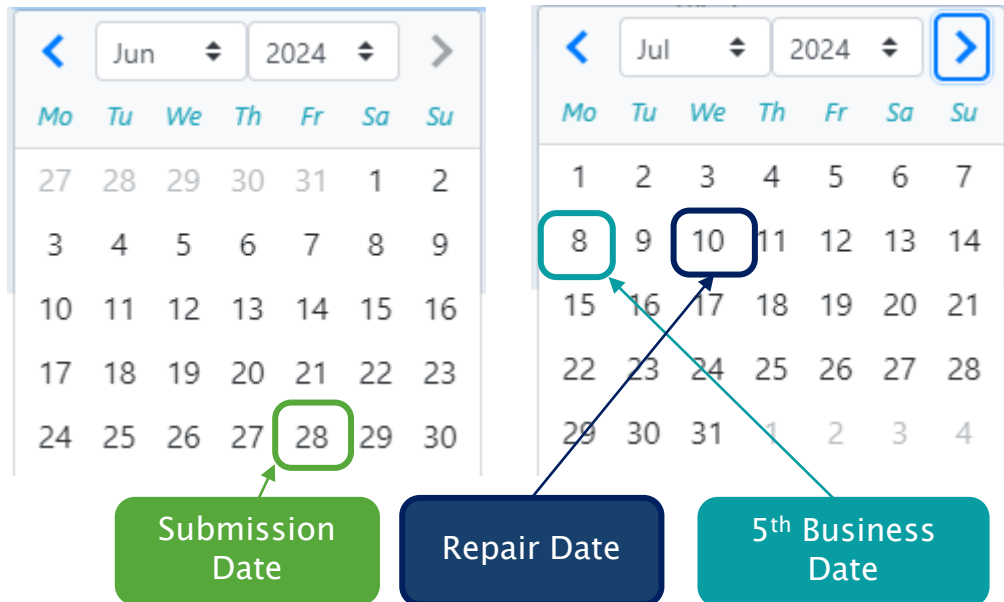| Metric	Value	Calculation
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	0	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	1	
FDID Compliance Error Count	1	= Late Accepted Records Count + Outstanding 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	**100.000%**	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

Submission Date

Repair Date

5th Business Date

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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**.
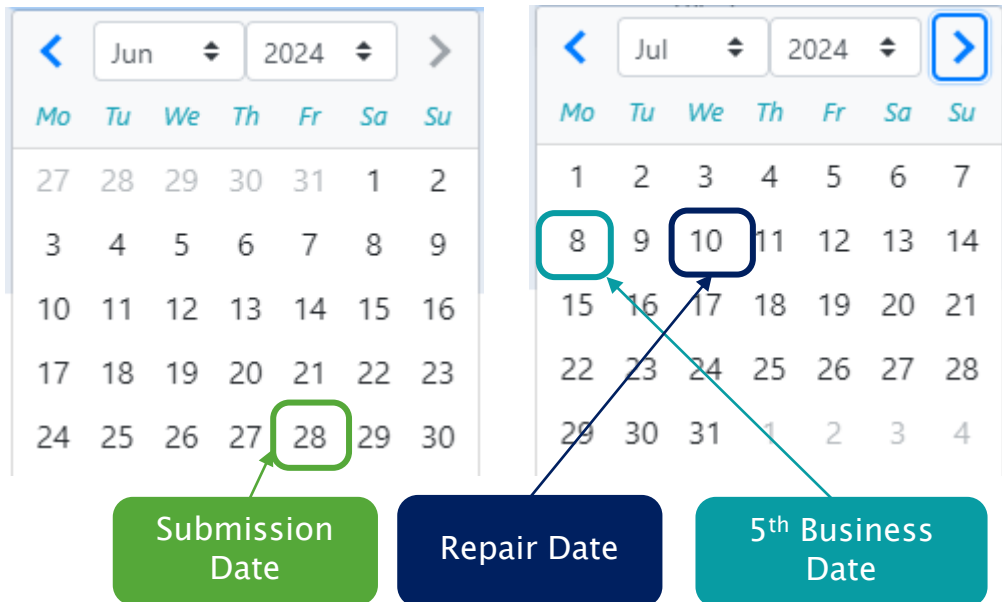

Metric	Value	Calculation
Firm A July 2024 Report Card		
FDID Records Processed Count	1	Includes all submissions and repairs
FDID Records Accepted Count	1	Includes all submissions and repairs
FDID Late Repaired Records Count	0	
FDID Outstanding Records Count	0	
FDID Compliance Error Count	0	= Late Accepted 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

Submission Date

Repair Date

5th Business Date

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

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

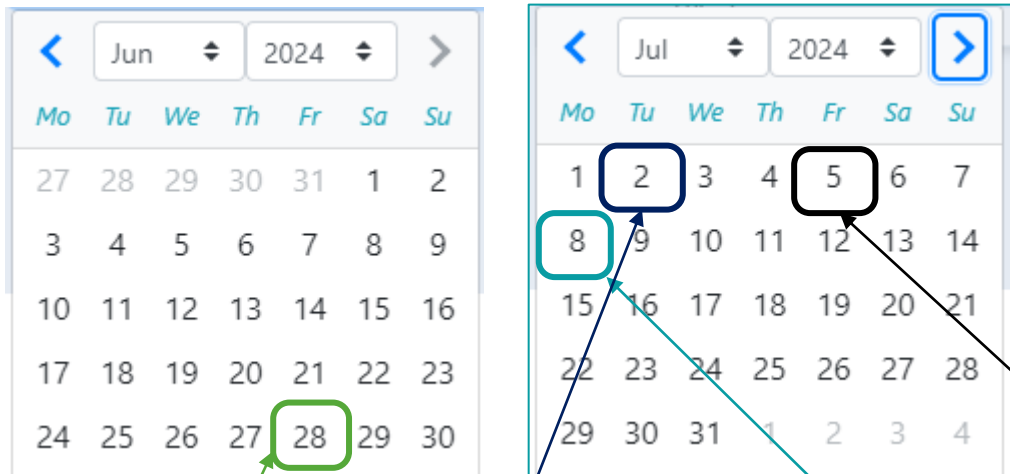Both records were **rejected.** The repairs are due **7/2/2024** by 5 PM.

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**.

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	**0.000%**	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

Submission Date

Repair Attempt

5th 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**.

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	**50.000%**	= (FDID Compliance Error Records Count + Customer Compliance Error Count / Processed Records Count) * 100

Jun 2024 / Jul 2024 calendars
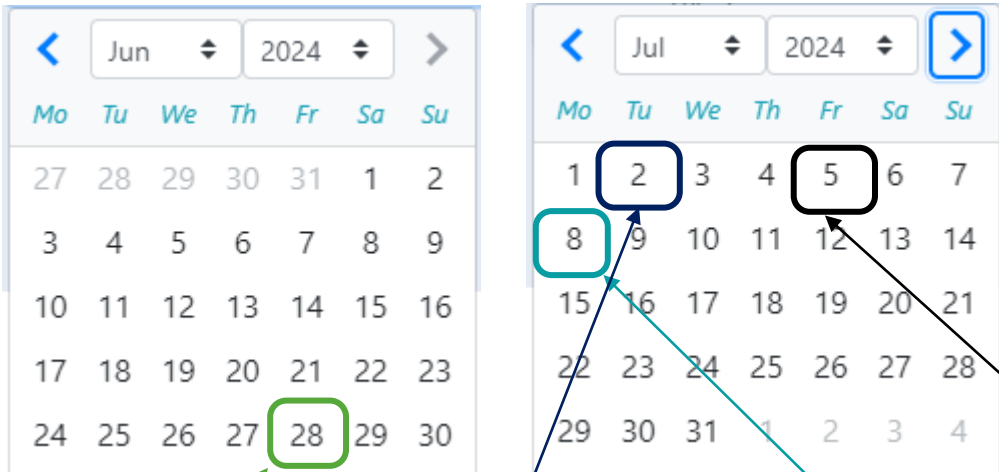
| Submission Date | Repair Attempt | 5th Business Date | Repair Successful |

How to Ask a Question during Today's Call

➢ **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

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com