

Date	Phase	Information	Category	Audience
04/13/2020	2a	Production Environment Opens for Production Readiness Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	Large Industry Members Small OATS Reporters
04/13/2020	2b	Production Environment Opens for Production Readiness Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	Industry Members
04/20/2020	2a	Test Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters

Date	Phase	Information	Category	Audience
04/20/2020	2b	Test Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	Large Industry Members
04/20/2020	2a	Production Go-Live for Equities 2a file submission and data integrity validations Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	Large Industry Members Small OATS Reporters
04/20/2020	2b	Industry Members are permitted to begin reporting Quote Sent Time on OMM quotes	Testing & Readiness	Industry Members

Date	Phase	Information	Category	Audience
05/04/2020	2b	Industry Members and CAT Reporting Agents must complete production readiness testing for 2b reporting Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	Large Industry Members
05/04/2020	2a	Production Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
05/04/2020	2b	Production Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	Large Industry Members

Date	Phase	Information	Category	Audience
05/18/2020	2b	Production Go-Live for Options 2b file submission and data integrity validations Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	Large Industry Members
05/18/2020	2b	Industry Members are required to begin reporting Quote Sent Time on OMM quotes	Release Availability & Compliance	Industry Members

Date	Phase	Information	Category	Audience
06/19/2020	2a	Release of Industry Member Compliance Report Card for Equities ONLY Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	Large Industry Members Small OATS Reporters
06/30/2020	2d	Technical Specifications Published for Options Phase 2d B. Reporting Requirements	Specifications & User Guide	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
07/20/2020	2b	Release of Industry Member Compliance Report Card including Equities and Options	Release Availability & Compliance	Large Industry Members Small OATS Reporters

Date	Phase	Information	Category	Audience
07/27/2020	2a	Production Environment Go-Live for Equities 2a Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Release Availability & Compliance	Large Industry Members Small OATS Reporters
07/27/2020	2a	Test Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
07/27/2020	2b	Test Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members

Date	Phase	Information	Category	Audience
08/10/2020	2a	Production Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
08/10/2020	2b	Production Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members
08/24/2020	2b	Production Environment Go-Live for Options 2b Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Release Availability & Compliance	Large Industry Members

Date	Phase	Information	Category	Audience
08/24/2020	2e	LTID Account Information Testing Environment Opens Q. Customer and Account Information	Testing & Readiness	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
09/09/2020	2a	Test Environment opens for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
09/09/2020	2b	Test Environment opens for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members

Date	Phase	Information	Category	Audience
09/28/2020	2a	Production Environment opens for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
09/28/2020	2b	Production Environment opens for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members
10/26/2020	2a	Production Environment Go-Live for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Release Availability & Compliance	Large Industry Members Small OATS Reporters

Date	Phase	Information	Category	Audience
10/26/2020	2a	Production Environment Go-Live for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Release Availability & Compliance	Large Industry Members Small OATS Reporters
12/14/2020	2e	LTID Account Information Reporting Production Environment Opens Q. Customer and Account Information	Release Availability & Compliance	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
01/04/2021	2b	Production Environment Go-Live for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Release Availability & Compliance	Large Industry Members

Date	Phase	Information	Category	Audience
01/04/2021	2b	Production Environment Go-Live for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Release Availability & Compliance	Large Industry Members
01/29/2021	2e	Full CAIS Final Technical Specification Published Q. Customer and Account Information	Specifications & User Guide	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
01/31/2021	2c	Test Environment Opens for Equities Phase 2c file submission and data integrity validations	Testing & Readiness	Industry Members

Date	Phase	Information	Category	Audience
04/26/2021	2e	LTID Account Information Reporting Go-Live for Phases 2a, 2b and 2c (Large Industry Members) Q. Customer and Account Information	Release Availability & Compliance	Developers Large Industry Members Plan Participants/Other Regulators Service Bureaus
04/30/2021	2c	Production Go-Live for Equities 2c file submission and data integrity validations	Release Availability & Compliance	Large Industry Members
06/30/2021	2d	Test Environment Opens for Options Phase 2d file submission and data integrity validations	Testing & Readiness	Industry Members

Date	Phase	Information	Category	Audience
12/13/2021	2d	Production Go-Live for Options 2d file submission and data integrity validations	Release Availability & Compliance	Large Industry Members
12/13/2021	2a	Small Firms: Production Go-Live for Equities 2a file submission and data integrity validations	Release Availability & Compliance	Small Non-OATS Reporters
12/13/2021	2b	Small Firms: Production Go-Live for Options 2b file submission and data integrity validations	Release Availability & Compliance	Small OATS Reporters Small Non-OATS Reporters

Date	Phase	Information	Category	Audience
12/13/2021	2c	Small Firms: Production Go-Live for Equities 2c file submission and data integrity validations	Release Availability & Compliance	Small OATS Reporters Small Non-OATS Reporters
12/13/2021	2d	Small Firms: Production Go-Live for Options 2d file submission and data integrity validations	Release Availability & Compliance	Small OATS Reporters Small Non-OATS Reporters
12/13/2021	2e	LTID Account Information Reporting Go-Live for Phase 2d (Large Industry Members) Q. Customer and Account Information	Release Availability & Compliance	Developers Large Industry Members Plan Participants/Other Regulators Service Bureaus

Date	Phase	Information	Category	Audience
12/13/2021	2e	LTID Account Information Reporting Go-Live for Phases 2a, 2b, 2c and 2d (Small Industry Members) Q. Customer and Account Information	Release Availability & Compliance	Developers Small OATS Reporters Small Non-OATS Reporters Plan Participants/Other Regulators Service Bureaus
01/31/2022	2e	Customer and Account Information - Test Environment Opens Q. Customer and Account Information	Testing & Readiness	Industry Members
07/31/2022	2e	Customer and Account Information - Production Environment Go-Live Q. Customer and Account Information	Release Availability & Compliance	Industry Members