
Click this link to view timeline entries in [calendar format](#) or grouped by [phase](#).
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Date	Phase	Information	Category	Audience
10/15/2019	2a	Private Line available for network testing (BT Radianz and Century Link) Release 1 - File Submission and Data Integrity Validations	Connectivity	<ul style="list-style-type: none">• Large Industry Members• Small OATS Reporters
		Topics O. Technical Requirements		
10/15/2019	2a	Publication of IMID/IMID Conflicts and Issue Sample List Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	<ul style="list-style-type: none">• Large Industry Members• Small OATS Reporters
10/15/2019	2b	Private Line available for network testing (BT Radianz and Century Link)	Connectivity	<ul style="list-style-type: none">• Large Industry Members

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		Release 1 - File Submission and Data Integrity Validations		
		Topics		
		O. Technical Requirements		
10/15/2019	2b	Publication of IMID/IMID Conflicts and Issue Sample List	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
11/01/2019	2a	Onboarding Guide Update to include Multi-Factor Authentication	Registration & Onboarding	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
11/01/2019	2b	Onboarding Guide Update to include Multi-Factor Authentication	Registration & Onboarding	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		

Date	Phase	Information	Category	Audience
11/04/2019	2a	CAT Secure Reporting Gateway available for network testing	Connectivity	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
11/04/2019		Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	
		Plan Participant UAT begins for Industry Test Release 1.1 (November 18 functionality) and Reference Data Release		<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
11/04/2019	2a	CAT Reporter Portal User Guide Published for Industry Test Release 1.1 (November 18 functionality)	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
11/04/2019	2b	CAT Secure Reporting Gateway available for network testing	Connectivity	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity		

Date	Phase	Information Validations	Category	Audience
11/04/2019	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.1 (November 18 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
11/18/2019	2a	Industry Test Release 1.1 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
11/18/2019	2b	Industry Test Release 1.1 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
11/25/2019		Plan Participant UAT begins for Industry Test Release 1.2 (December 16 functionality) Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
12/02/2019	2a	CAT Reporter	Specifications & User Guide	

Date	Phase	Information	Category	Audience
		Portal User Guide Published for Industry Test Release 1.2 (December 16 functionality)		<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
12/02/2019	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.2 (December 16 functionality)	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
12/16/2019	2a	Test Environment opens for file submission and data integrity validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
12/16/2019	2b	Test Environment opens for file submission and data integrity validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		

Date	Phase	Information	Category	Audience
12/16/2019	2a	Industry Test Release 1.2 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
12/16/2019	2b	Industry Test Release 1.2 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
12/31/2019	2a	Test Environment Opens Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
12/31/2019	2b	Test Environment Opens Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
01/03/2020	2a	Connectivity Supplement updated to include AWS PrivateLink information Release 1 - File Submission and Data Integrity Validations	Connectivity	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
01/03/2020	2b		Connectivity	

Date	Phase	Information	Category	Audience
01/27/2020	2a	Connectivity Supplement updated to include AWS PrivateLink information	Connectivity	<ul style="list-style-type: none"> • Large Industry Members
01/27/2020	2b	Release 1 - File Submission and Data Integrity Validations	Connectivity	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
01/31/2020	2c	AWS PrivateLink available for 2a/2b machine-to-machine file submission and CAT Reporter Portal	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
		AWS PrivateLink available for 2a/2b machine-to-machine file submission and CAT Reporter Portal		
		Release 1 - File Submission and Data Integrity Validations		
		Technical Specifications Published for Equities Phase 2c		<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus

Date	Phase	Information	Category	Audience
01/31/2020	2e	LTID Technical Specification Published	Specifications & User Guide	<ul style="list-style-type: none"> Industry Members
		Topics		
		Q. Customer and Account Information		
02/03/2020		Plan Participant UAT begins for February Industry Test Release	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
02/10/2020	2a	CAT Reporter Portal User Guide Published for February Release	Specifications & User Guide	<ul style="list-style-type: none"> Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
02/10/2020	2b	CAT Reporter Portal User Guide Published for February Release	Specifications & User Guide	<ul style="list-style-type: none"> Large Industry Members
		Release 1 - File Submission and Data Integrity		

Date	Phase	Information Validations	Category	Audience
02/24/2020	2a	Industry Test Release 1.3 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
02/24/2020	2b	Industry Test Release 1.3 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
03/11/2020	2a	CAT Reporter Portal User Guide Published for Industry Test Release 1.4 (March 23 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
03/11/2020	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.4 (March 23 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
03/23/2020	2a	Industry Test Release 1.4	Testing & Readiness	<ul style="list-style-type: none"> • Industry

Date	Phase	Information	Category	Audience
03/23/2020	2b	Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	Members
04/13/2020	2a	Industry Test Release 1.4 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
04/13/2020	2b	Production Environment Opens for Production Readiness Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
04/20/2020	2a	Production Environment Opens for Production Readiness Release 1 - File Submission and Data Integrity Validations Test Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members • Large Industry Members • Small OATS Reporters
04/20/2020	2b	Test Environment opens for Intrafirm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry

Date	Phase	Information	Category	Audience
				Members
04/20/2020	2b	Release 2 - Intrafirm Linkage	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
		Industry Members are permitted to begin reporting Quote Sent Time on OMM quotes		
05/04/2020	2a	Production Environment opens for Intrafirm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members Small OATS Reporters
		Release 2 - Intrafirm Linkage		
05/04/2020	2b	Production Environment opens for Intrafirm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members
		Release 2 - Intrafirm Linkage		
06/08/2020	2a	Industry Members and CAT Reporting Agents must complete production readiness testing for 2a reporting	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
06/22/2020	2a	Production Go-Live & Compliance for Equities 2a file	Release Availability	<ul style="list-style-type: none"> Large

Date	Phase	Information submission and data integrity validations	Category	Audience
06/30/2020	2d	Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> Industry Members Small OATS Reporters
		Technical Specifications Published for Options Phase 2d		<ul style="list-style-type: none"> Developers Industry Members Plan Participants/Other Regulators Service Bureaus
		Topics		
		B. Reporting Requirements		
07/06/2020	2b	Industry Members and CAT Reporting Agents must complete production readiness testing for 2b reporting	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
07/20/2020	2b	Production Go-Live submission and data integrity validations	Release Availability & Compliance	<ul style="list-style-type: none"> Large Industry Members
		Release 1 - File Submission and		

Date	Phase	Information	Category	Audience
		Data Integrity Validations		
07/20/2020	2b	Industry Members are required to begin reporting Quote Sent Time on OMM quotes	Release Availability & Compliance	<ul style="list-style-type: none"> • Industry Members
07/27/2020	2a	Production Environment Go-Live for Equities 2a Intrafirm Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 2 - Intrafirm Linkage		
07/27/2020	2a	Test Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 3 - Interfirm Linkage		
07/27/2020	2b	Test Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Release 3 - Interfirm Linkage		
08/10/2020	2a	Production Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 3 - Interfirm Linkage		
08/10/2020	2b		Testing &	

Date	Phase	Information	Category	Audience
		Production Environment opens for Firm to Firm Linkage validations	Readiness	<ul style="list-style-type: none"> • Large Industry Members
08/17/2020	2a	Release 3 - Interfirm Linkage Equities ONLY- Report Card Availability	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
08/24/2020	2b	Production Environment Go-Live for Options 2b Intrafirm Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
08/24/2020	2c	Release 2 - Intrafirm Linkage LTID Account Information Testing Environment Opens Topics Q. Customer and Account Information	Testing & Readiness	<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
09/09/2020	2a	Test Environment opens for Equities	Testing & Readiness	<ul style="list-style-type: none"> • Large

Date	Phase	Information	Category	Audience
09/09/2020	2b	2a Exchange and TRF Linkage validations	Testing & Readiness	Industry Members • Small OATS Reporters
09/15/2020	2b	Release 4 - TRF/Exchange Linkage	Release Availability & Compliance	• Large Industry Members
09/28/2020	2a	Test Environment opens for Options 2b Exchange Linkage validations	Testing & Readiness	• Large Industry Members
09/28/2020	2b	Release 4 - TRF/Exchange Linkage	Testing & Readiness	• Large Industry Members • Small OATS Reporters
		Equities AND Options- Report Card Availability		
		Production Environment opens for Equities 2a Exchange and TRF Linkage validations		
		Production Environment opens for Options 2b Exchange Linkage validations		
		Release 4 - TRF/Exchange Linkage		

Date	Phase	Information	Category	Audience
10/26/2020	2a	Production Environment Go-Live for Firm to Firm Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
10/26/2020	2a	Production Environment Go-Live for Equities 2a Exchange and TRF Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 3 - Interfirm Linkage		
		Release 4 - TRF/Exchange Linkage		
12/14/2020	2c	LTID Account Information Reporting Production Environment Opens	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account Information		
01/04/2021	2b	Production Environment Go-Live for Firm to Firm Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members

Date	Phase	Information	Category	Audience
		Release 3 - Interfirm Linkage		
01/04/2021	2b	Production Environment Go- Live for Options 2b Exchange Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
		Release 4 - TRF/Exchange Linkage		
01/25/2021	2c	Test Environment Opens for Equities Phase 2c reporting requirements	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
01/29/2021	2e	Full CAIS Final Technical Specification Published	Specifications & User Guide	<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account Information		
04/09/2021	2c	Deadline to Request Production Readiness Certification for CAIS (account information related to LTIDs)	Registration & Onboarding	<ul style="list-style-type: none"> • Industry Members • Service Bureaus

Date	Phase	Information Topics	Category	Audience
		Q. Customer and Account Information		
04/26/2021	2c	Production Go-Live for Equities 2c reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
04/26/2021	2c	LTID Account Information Reporting Go-Live for Phases 2a, 2b and 2c (Large Industry Members)	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Large Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account Information		
06/28/2021	2d	Test Environment Opens for Options Phase 2d reporting requirements	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
11/29/2021	2a/2b/2c/2d	Small Industry Members and their CAT Reporting Agents must	Testing & Readiness	<ul style="list-style-type: none"> • Small Non-OATS Reporters

Date	Phase	Information	Category	Audience
12/13/2021	2d	complete production readiness testing for 2a, 2b, 2c and 2d reporting	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
12/13/2021	2a	Small Firms: Production Go-Live for Equities 2a reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small Non-OATS Reporters
12/13/2021	2b	Small Firms: Production Go-Live for Options 2b reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small OATS Reporters • Small Non-OATS Reporters
12/13/2021	2c	Small Firms: Production Go-Live for Equities 2c reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small OATS Reporters • Small Non-OATS Reporters
12/13/2021	2d	Small Firms: Production Go-Live for Options 2d reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small OATS Reporters • Small Non-OATS Reporters
12/13/2021	2d	LTID Account	Release Availability & Compliance	

Date	Phase	Information	Category	Audience
		Information Reporting Go-Live for Phase 2d (Large Industry Members) Topics		<ul style="list-style-type: none"> • Developers • Large Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Q. Customer and Account Information		
12/13/2021	2d	LTID Account Information Reporting Go-Live for Phases 2a, 2b, 2c and 2d (Small Industry Members)	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Small OATS Reporters • Small Non-OATS Reporters • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account Information		
01/31/2022	2e	Customer and Account Information - Test Environment Opens	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
		Topics		

Date	Phase	Information	Category	Audience
04/25/2022	2e	Q. Customer and Account Information Customer and Account Information - Production Environment Opens	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
		Topics		
		Q. Customer and Account Information		
06/20/2022	2e	Deadline to Request Production Readiness Certification for Full CAIS	Registration & Onboarding	<ul style="list-style-type: none"> Industry Members
		Topics		
		Q. Customer and Account Information		
07/11/2022	2e	Customer and	Release Availability & Compliance	

Date	Phase	Information Account Information - Production Environment Go- Live	Category	Audience • Industry Members
		Topics		
		Q. Customer and Account Information		