

Phase: 2a

Date	Information	Category	Audience
06/08/2020	Industry Members and CAT Reporting Agents must complete production readiness testing for 2a reporting Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	Large Industry Members Small OATS Reporters
06/22/2020	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
07/27/2020	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	Test Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters

Date	Information	Category	Audience
08/10/2020	Production Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
08/17/2020	Equities ONLY- Report Card Availability	Release Availability & Compliance	Large Industry Members Small OATS Reporters
09/09/2020	Test Environment opens for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
09/28/2020	Production Environment opens for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members Small OATS Reporters
10/26/2020	Production Environment Go-Live for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Release Availability & Compliance	Large Industry Members Small OATS Reporters

Date	Information	Category	Audience
10/26/2020	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
12/13/2021	Small Firms: Production Go-Live for Equities 2a file submission and data integrity validations	Release Availability & Compliance	Small Non-OATS Reporters

Phase: 2b

Date	Information	Category	Audience
07/06/2020	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
07/20/2020	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
07/20/2020	Industry Members are required to begin reporting Quote Sent Time on OMM quotes	Release Availability & Compliance	Industry Members

Date	Information	Category	Audience
07/27/2020	Test Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members
08/10/2020	Production Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Testing & Readiness	Large Industry Members
08/24/2020	Production Environment Go-Live for Options 2b Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Release Availability & Compliance	Large Industry Members
09/09/2020	Test Environment opens for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members
09/15/2020	Equities AND Options-Report Card Availability	Release Availability & Compliance	Large Industry Members
09/28/2020	Production Environment opens for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	Large Industry Members

Date	Information	Category	Audience
01/04/2021	Production Environment Go-Live for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Release Availability & Compliance	Large Industry Members
01/04/2021	Production Environment Go-Live for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Release Availability & Compliance	Large Industry Members
12/13/2021	Small Firms: Production Go-Live for Options 2b file submission and data integrity validations	Release Availability & Compliance	Small OATS Reporters Small Non-OATS Reporters

Phase: 2c

Date	Information	Category	Audience
08/24/2020	LTID Account Information Testing Environment Opens Q. Customer and Account Information	Testing & Readiness	Developers Industry Members Plan Participants/Other Regulators Service Bureaus

Date	Information	Category	Audience
12/14/2020	LTID Account Information Reporting Production Environment Opens Q. Customer and Account Information	Release Availability & Compliance	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
01/31/2021	Test Environment Opens for Equities Phase 2c file submission and data integrity validations	Testing & Readiness	Industry Members
04/26/2021	Production Go-Live for Equities 2c file submission and data integrity validations	Release Availability & Compliance	Large Industry Members
04/26/2021	LTID Account Information Reporting Go-Live for Phases 2a and 2c (Large Industry Members) Q. Customer and Account Information	Release Availability & Compliance	Developers Large Industry Members Plan Participants/Other Regulators Service Bureaus
12/13/2021	Small Firms: Production Go-Live for Equities 2c file submission and data integrity validations	Release Availability & Compliance	Small OATS Reporters Small Non-OATS Reporters

Phase: 2d

Date	Information	Category	Audience
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06/30/2020	Technical Specifications Published for Options Phase 2d B. Reporting Requirements	Specifications & User Guide	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
06/30/2021	Test Environment Opens for Options Phase 2d file submission and data integrity validations	Testing & Readiness	Industry Members
12/13/2021	Production Go-Live for Options 2d file submission and data integrity validations	Release Availability & Compliance	Large Industry Members
12/13/2021	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	LTID Account Information Reporting Go-Live for Phases 2b and 2d (Large Industry Members) Q. Customer and Account Information	Release Availability & Compliance	Developers Large Industry Members Plan Participants/Other Regulators Service Bureaus

12/13/2021	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
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Phase: 2e

Date	Information	Category	Audience
01/29/2021	Full CAIS Final Technical Specification Published Q. Customer and Account Information	Specifications & User Guide	Developers Industry Members Plan Participants/Other Regulators Service Bureaus
01/31/2022	Customer and Account Information - Test Environment Opens Q. Customer and Account Information	Testing & Readiness	Industry Members

Date	Information	Category	Audience
07/11/2022	Customer and Account Information - Production Environment Go-Live Q. Customer and Account Information	Release Availability & Compliance	Industry Members