

Consolidated Audit Trail

Customer and Account Information System (CAIS), Large Trader Identifier (LTIDs) Onboarding Overview

8/12/20

Agenda

- ▶ Registration
- ▶ Entitlement
- ▶ Connectivity
- ▶ CAT Reporting Relationships
- ▶ Production Readiness Testing
- ▶ Certification
- ▶ Timeline
- ▶ Resources

CAIS Onboarding Steps

- ▶ Register for CAT CAIS
- ▶ Designate SAA or CAIS Account Administrator(s), if new organization
- ▶ Create / Entitle CAT User Accounts for the CAT CAIS Reporter Portal
- ▶ Request CAT CAIS Secure File Transfer Accounts
- ▶ Establish CAT CAIS Reporting Relationships
- ▶ Conduct Testing for CAT CAIS Production Readiness
- ▶ Certify CAT CAIS Testing Completion

CAIS Registration

- ▶ All Industry Members and CAT Reporting Agents that will submit LTID or Customer and Account information must register for CAIS
- ▶ The CAIS Registration Form will be available on August 17, 2020 on a dedicated CAT CAIS Onboarding page on catnmsplan.com
- ▶ CAT CAIS Registration Deadline is **October 5, 2020**

CAT CAIS Entitlement

- ▶ CAIS access leverages the FINRA Entitlement Program that includes:
 - Super Account Administrator (SAA) role for Industry Members
 - Account Administrator role for CAT Reporting Agents (Service Providers).
- ▶ Upon submission and verification of the CAT CAIS Registration Form, the SAA (for Industry Members) or AA (for CAT Reporting Agents) will be given the ability to grant CAIS access to users. Additionally, they may grant the ability for Account Administrators to manage user access to CAIS.

Entitlement – Super Account Administrators

- ▶ Industry Members- Establish Super Account Administrator (“SAA”)
 - Existing FINRA SAAs will be granted administrative access to manage CAIS access for their users.
 - IMs without an existing SAA must request one via a *New Organization SAA Entitlement Form*.
 - SAAs will receive an email when access is granted and will then be able to create accounts and grant users access, beginning on August 21, 2020
 - To replace an existing SAA, firms must contact the FINRA CAT Helpdesk to request an *Update/Replace SAA Form*

Entitlement– CAT Reporting Agent Account Administrators

- ▶ CAT Reporting Agents that are not members of a Plan Participant must designate a CAT Account Administrator by submitting a *CAT Account Administrator Entitlement Form*
- ▶ AA will receive email when account is created with credentials for CAT administrator access. Then AA will be able to create and entitle users, beginning on August 21, 2020
- ▶ To replace an existing CAT AA, firms need to submit a new *CAT Account Administrator Entitlement Form* and complete the applicable section

CAIS Reporter Portal User Types

1.1. CAIS Reporter Portal User Types

The following user roles may be assigned to grant users privileges to access and use the Customer and Account Information System (CAIS).

Role	Description
CAIS Reporter Portal	Provides access to the CAIS Reporter Portal. <i>Note: At least one of the privileges below must also be granted for the user to access the application.</i>
CAIS Reporter User	Allows the user to create, view, and transmit CAIS records; upload files; view status files; view and repair errors; and view submission statistics.
CAIS Reporter Read-Only User	Allows the user to view status files and submission statistics.

Entitlement– Create/Entitle CAT User Accounts for the Reporter Portal

SAs and CAT Account Administrators will be able to create and entitle additional users of the CAIS Reporter Portal, beginning on August 21, 2020, provided all prerequisites have been met:

- ▶ CAT Account Administrator- Highest level of access- this role may create, edit, disable and delete CAT User and Read-only accounts
 - Upload data files, create view and transmit via the Reporter Portal
 - View and Repair Errors
 - Create, view and edit Reporting Relationships
 - View and export feedback

Entitlement– Create/Entitle CAT User Accounts for the Reporter Portal

- ▶ CAT CAIS User: This role has no administrator functions
 - Upload data files, create view and transmit via the Reporter Portal
 - View and repair errors
 - Create, view and edit Reporting Relationships
 - View and export feedback
- ▶ CAT CAIS Read-Only User
 - View feedback including summaries and statistics
 - View errors
 - View Reporting Relationships

Entitlement- Create/Entitle CAT User Accounts for the Reporter Portal

Application Privileges

User: The ability to use the functionality as defined by the privilege.

Privilege Viewer: The ability to view the privilege assigned to your organization's users from the EWS Account Management Application.

Administrator: The ability to assign the privilege to other users and view the privilege assigned to other users.

All Account Privileges		Unselect ALL	Select Administrator	Select Privilege Viewer
Account Management:		<input type="checkbox"/> User		
Select All Unselect All				
CAT Production Access Management:		<input type="checkbox"/> User		
CAT Test Access Management:		<input type="checkbox"/> User		
CAT - Reporter Portal:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Select All Unselect All Select All Admin				
Industry Member / Reporting Agent Administrator:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Industry Member / Reporting Agent User:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Industry Member / Reporting Agent Read Only:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
CAIS Reporter:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Select All Unselect All Select All Admin				
Reporter User:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Reporter Read-Only User:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Reporter Relationship Manager:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator	

Save Cancel

Secure File Transfer Accounts

- ▶ Firms submitting via a machine-to-machine connection must establish a CAT CAIS Secure File Transfer Protocol (“SFTP”) account
- ▶ To establish a CAT CAIS SFTP account, the organization must first have a SAA or CAT AA designated
- ▶ Organizations complete the CAT CAIS SFTP Form which is available on catnmsplan.com. Credentials will be sent to the account owner once the account is created
- ▶ Existing FINRA and FINRA CAT SFTP accounts can NOT be leveraged to submit data to CAT CAIS

Connectivity

- ▶ Connectivity to CAIS will be provided by three options:

Connectivity Method	SFTP File Submissions	CAT Reporter Portal
Private Line via MNSP	Y	Y
Secure Internet	N	Y
Cloud to Cloud via AWS Private Link	Y	Y

- ▶ Firms may leverage existing connectivity- new lines are not required
 - May require additional firewall configuration settings for Private Line or AWS

Establish CAT Reporting Relationships in the Test Environment

- ▶ CAT CAIS Reporting Relationships must be established to authorize another CAT Reporting Agent to submit on a firm's behalf
- ▶ Relationships must be established prior to any data submissions to the CAT CAIS Reporter Portal beginning on August, 24, 2020
- ▶ Firms transmitting data on their own behalf are not required to establish a relationship for themselves

Testing for Production Readiness

- ▶ The CAIS system will be open for Industry Members and CAT Reporting Agents to perform production readiness testing beginning on August 24, 2020.
- ▶ This testing must be completed prior to submitting LTID data into the Production environment
- ▶ Production readiness certification requirements are being developed and will include:
 - Entitlements
 - File submissions
 - Data integrity validations
- ▶ Certification process starts in mid-November 2020

Certification of Testing Completion

- ▶ Once CAT Reporters have completed all onboarding steps they must contact the FINRA CAT Helpdesk for certification
- ▶ The Helpdesk will require the reporting date the organization is using for its certification test
- ▶ Upon verification that the organization meets the requirements, it will be granted access to the CAT CAIS Production environment
- ▶ CAT CAIS Reporting Relationships will be carried over from the Test Environment to the Production Environment.

Upcoming Dates

- ▶ Registration Opens- 8/17/20
- ▶ CAT CAIS Onboarding Guide Publication- 8/17/20
- ▶ CAT CAIS Reporter Portal User Guide Publication- 8/17/20
- ▶ Entitlement Starts -8/21/20
- ▶ Test Environment Opens- 8/24/20
- ▶ LTID Certification Begins- mid-November 2020
- ▶ LTID Production Opens- mid-December 2020
- ▶ Mandatory LTID Reporting- April 26, 2021

Order of Operations

1. Register
2. Designate SAA or CAT Account Administrators, if new organization
3. Create additional CAT CAIS users and grant access
4. Submit CAT CAIS SFTP Entitlement Form
5. Test Connectivity
6. Establish Reporting Relationships
7. Test Production Readiness
8. Certify

Upcoming CAIS/LTID Events

- ▶ Consolidated Audit Trail, LLC and FINRA CAT, LLC will host Weekly Industry Testing Checkpoint Calls for CAIS/LTID every Wednesday at 4:15 pm ET beginning on August 26, 2020 until further notice.
 - The first checkpoint will include an overview of the CAIS Reporter Portal functionality.

Additional Resources

- ▶ CAIS Technical Specifications and Scenarios Documents are located on the catnmsplan.com website under the “Technical Specifications” tab.
- ▶ Also, see FAQ Section Q.

How to Ask a Question during Today's Call

- **For participants using computer audio:**
 - Click the “Raise Hand” button at the bottom of the participants 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.