

Industry Member CAT CAIS Reporter Portal User Guide

2020-08-21

Version 1.0

Table of Contents

Change Log	2
Overview	3
Companion Documents	4
1. Entitlement and User Roles	5
2. Technical Requirements	6
3. Access Information	7
4. Reporting Feedback	8
4.1. Reporting Summary	8
4.2. Reporting Statistics	8
4.2.1. Submission Report	8
4.2.2. FDID Reconciliation Report	10
5. Error Corrections	13
5.1. Viewing Rejections	13
5.2. Error Correction via Manual Submission	15
5.3. Error Correction via File Submission	19
6. Report to CAIS	22
6.1. Upload Data to CAIS	22
6.1.1. File Processing	22
6.1.2. Upload Data File	23
6.1.3. Manually Report Data to CAIS	24
6.2. Download Feedback File	28
7. CAIS Reporting Relationships	30
7.1. Usage of Reporting Relationships	30
7.2. View CAIS Reporting Relationships	30
7.3. Create and Manage CAIS Reporting Relationship	31
7.3.1. CAIS Reporting Relationship Fields, Rules, and Validations	32
7.3.2. Duplicate and Overlapping CAIS Reporting Relationships	32
7.3.3. View and Export CAIS Reporting Relationships	32
7.3.4. Add a CAIS Reporting Relationship	34
7.3.5. Manage Existing CAIS Reporting Relationships	35
8. Administrative Information	37
8.1. Announcements	37
8.2. System Status	37

Change Log

Version	Date Published	Description of Change(s)
1.0	2020-08-21	Initial User Guide

Overview

The **Industry Member CAT CAIS Reporter Portal** (“**Portal**”) is a web-based tool that allows CAT Reporters to monitor and manage data submissions to CAIS. The Portal includes end-to-end capability for providing complete and accurate data to CAIS, including the ability to manually enter and upload data, monitor submissions, and review and correct errors.

Additionally, the Portal provides access to reporting statistics including information on an Industry Member’s submissions and error rates as well as its performance compared to that of its peers. Users can also access other CAIS related information including system announcements, system status, and additional resources.

Questions

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

Companion Documents

- CAT CAIS Reporting Technical Specification, Reporting Scenarios, and JSON Schemas: <https://www.catnmsplan.com/specifications/im>
- Frequently Asked Questions: <https://www.catnmsplan.com/faq>
- Industry Member CAT CAIS Onboarding Guide: <https://www.catnmsplan.com/registration>

1. Entitlement and User Roles

Prior to accessing the Portal, an individual must have a CAT user account with an assigned user role that provides access to the Portal. See the [Industry Member Onboarding Guide](#) for details on obtaining a user account and assigning user roles.

User roles for the Industry Member Portal include CAT Account Administrator, CAIS Reporter User, CAIS Read-Only, and CAIS System Status User. The abilities for each user role are:

Task	CAIS Account Admin	CAIS Reporter User	CAIS Reporter Read-Only User
Create/manage CAIS users <i>(via the FINRA Entitlement System)</i>	X		
View CAIS system status, maintenance, and announcements	X	X	X
View/export CAIS feedback files and reports	X	X	X
View CAIS reporting relationships	X	X	X
Create/edit CAIS reporting relationships <i>(via the CAT Transaction Reporter Portal)</i>	X	X	
Create/edit CAIS records via CAIS Reporter Portal UI	X	X	
Repair CAIS error records	X	X	
Upload CAIS files <i>(via CAIS Reporter Portal UI)</i>	X	X	
View monthly consolidated report card	X	X	X

2. Technical Requirements

The CAIS Reporter Portal supports HTML5-compatible browsers including Chrome, Firefox, and Safari. Using any other browser may result in the inability to access the Portal.

See the **FINRA CAT Connectivity Supplement for Industry Members** available at <https://catnmsplan.com/registration/> for the available connection methods and all corresponding technical requirements.

3. Access Information

For **web-based** users accessing the Portal directly through an internet browser:

Production URL	CT/Industry Test URL
https://srg.catnms.com/	https://srg.ct.catnms.com/

For **private line** users accessing the Portal through a third-party Managed Service Provider:

Production URL	CT/Industry Test URL
https://reporterportal.cais.catnms.com/cais	https://reporterportal.ct.cais.catnms.com/cais

For **AWS PrivateLink** users:

Production URL	CT/Industry Test URL
https://reporterportal-pl.cais.catnms.com/cais	https://reporterportal-pl.ct.cais.catnms.com/cais

4. Reporting Feedback

4.1. Reporting Summary

The Portal provides statistics for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. **A user may view statistics for the previous 90 calendar days, including the current date.**

4.2. Reporting Statistics

4.2.1. Submission Report

The Portal provides a breakdown of statistics by submission file for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. **A user may view submissions for the previous 90 calendar days, including the current date.**

To view a submission report for the organization:

1. Select **Reports**.



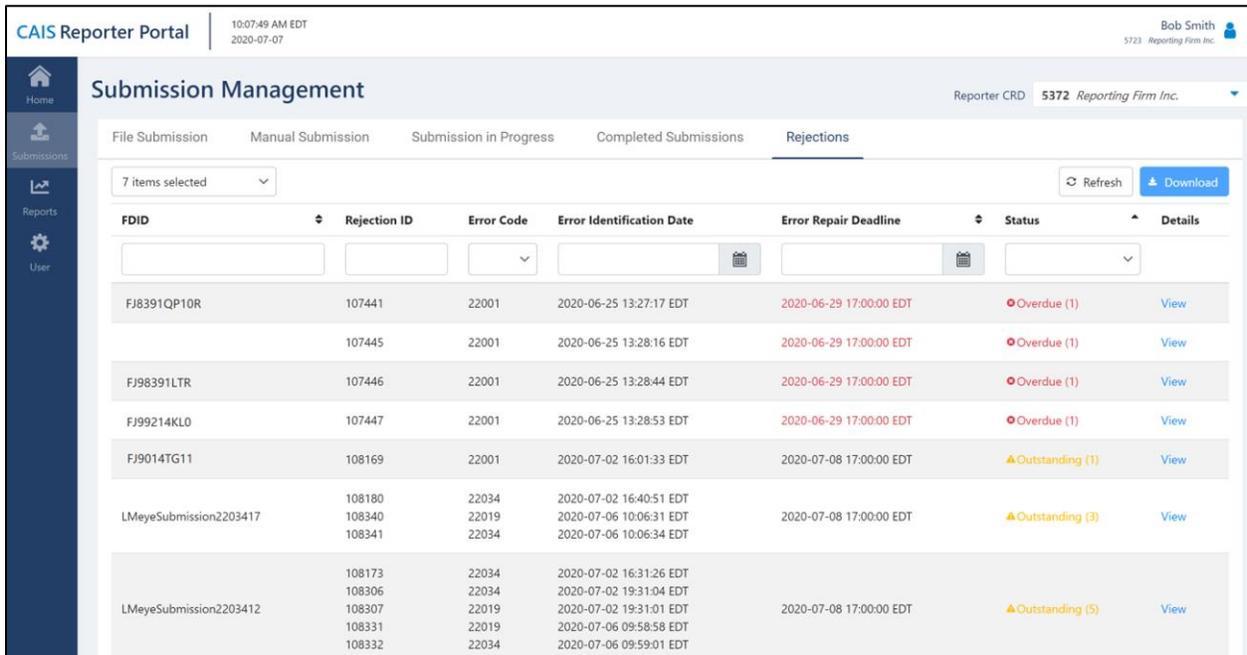
2. Select **Submission Report**.



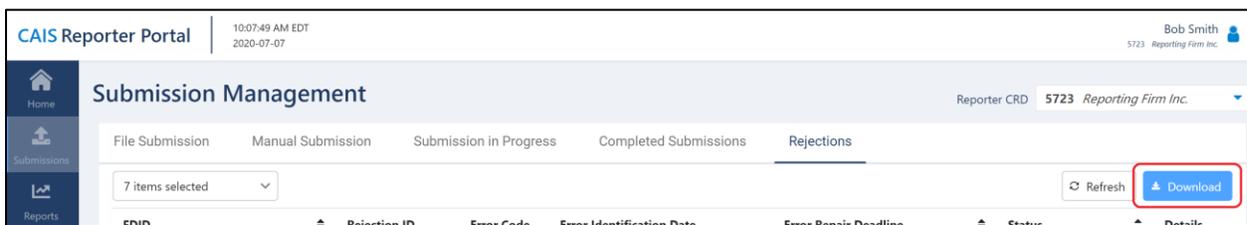
3. By default, submission statistics for the last 30 days will be displayed. To select another date or date range, utilize the date picker.



4. Review the basic statistics.



5. Optionally, select **Download** to download the Submission Report in a .csv file.



CAIS displays the following information for the specified display criteria:

- **Submission metadata** for each file submitted to CAIS, including Submission ID, file name, and method of submission.

- **Record submission statistics** for each file submitted to CAIS, including number of records accepted, number of records rejected, and number of record rejections which have not yet been repaired.

4.2.2. FDID Reconciliation Report

The Portal provides a means for CAT Reporters to reconcile FDID and LTID data stored in CAIS with their own records. Entitled users can upload a new line-delimited text file containing up to 1,000 FDID records. CAIS will return a Microsoft Excel-readable delimited text file containing the following details for each FDID within the file:

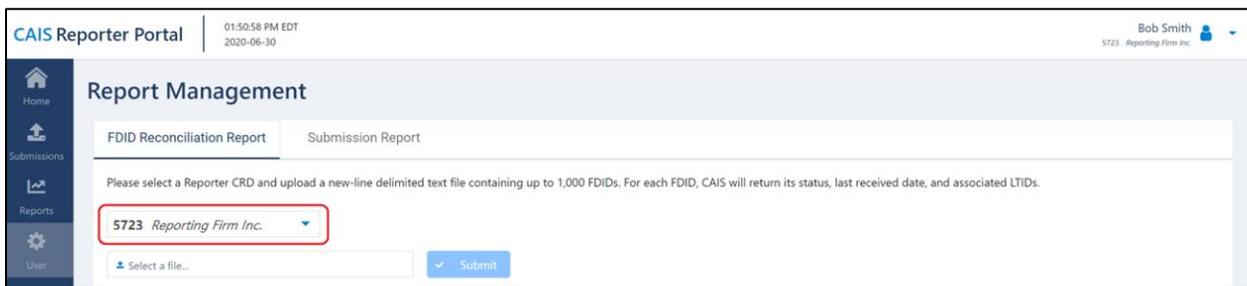
- An **FDID status** value, which indicates whether the FDID is:
 - **Active:** The FDID does not have an End Date or End Reason value applied.
 - **Inactive:** The FDID has End Reason and End Date values applied. The End Date value is in the past.
 - **Pending Inactivation:** The FDID has End Reason and End Date values applied. The End Date value is in the future.
 - **Not Found:** The FDID has not previously been accepted by CAIS.
- The **Last Received Date**, denoting the time and date on which the FDID record was last accepted by CAIS.
- A list of **partially masked LTIDs** which are associated to each FDID, including those that have been inactivated or are pending inactivation.
- An **LTID Status** value, which indicates whether the LTID association is:
 - **Active:** The FDID-to-LTID association does not have an End Date and End Reason applied.
 - **Inactive:** The LTID association has both End Date and End Reason applied, and the End Date value is equal or prior to the current calendar date.
 - **Pending Inactivation:** The LTID association has both End Date and End Reason applied, and the End Date value is in the future.

To **obtain** an FDID Report for the organization:

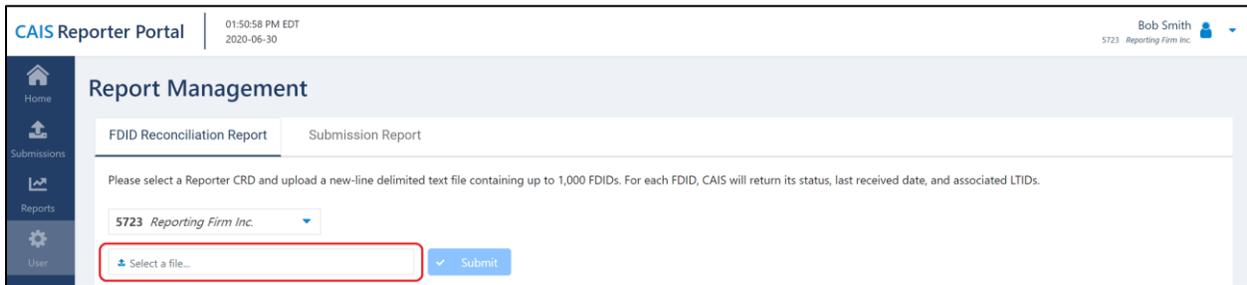
1. Select **Reports**.



2. Select a **Reporter CRD** for which you are currently entitled to submit data.



3. Upload a **new line-delimited text file** containing up to 1,000 FDIDs.



4. The FDID Report results file will be generated and downloaded to your machine.



5. Once the download is complete, you may open the file in Microsoft Excel or another compatible program.



5. Error Corrections

The Portal allows users to review and manage rejected records. This includes the ability to view a high-level summary, view rejection details, and repair the data. A user may view repaired rejections for the previous 10 calendar days, including the current date. A user may view unresolved rejections until they are repaired.

5.1. Viewing Rejections

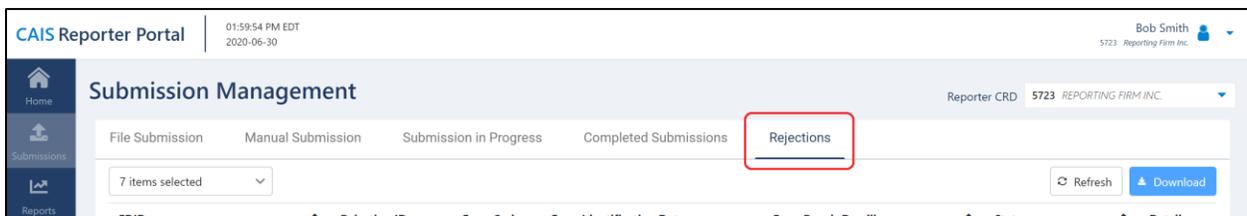
The Portal provides a breakdown of errors by FDID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal.

To view record rejections for the organization:

1. Select **Submissions**.



2. Select **Rejections**.



3. Overdue and outstanding rejections are displayed first in the table.

CAIS Reporter Portal | 03:07:00 PM EDT | 2020-07-08 | Bob Smith | 5723 Reporting Firm Inc.

Reporter CRD: 5723 Reporting Firm Inc.

Submission Management

File Submission | Manual Submission | Submission in Progress | Completed Submissions | **Rejections**

7 items selected | Refresh | Download

FDID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status	Details
GAUGE2142538743	107992	22018	2020-07-01 11:05:33 EDT	2020-07-07 17:00:00 EDT	Overdue (3)	View
	107993	22018	2020-07-01 11:05:33 EDT			
	107994	22018	2020-07-01 11:05:26 EDT			
SathyaFdidWith2xxxError	108014	22007	2020-07-01 13:34:15 EDT	2020-07-07 17:00:00 EDT	Overdue (2)	View
	108162	22007	2020-07-02 15:47:35 EDT			
FDID3123	108018	22001	2020-07-01 14:03:29 EDT	2020-07-07 17:00:00 EDT	Overdue (1)	View
FDID9857	108008	22034	2020-07-01 11:36:12 EDT	2020-07-07 17:00:00 EDT	Overdue (1)	View
FDID1123	108016	22034	2020-07-01 13:35:25 EDT	2020-07-07 17:00:00 EDT	Overdue (1)	View
FDID541331	108020	22001	2020-07-01 14:03:29 EDT	2020-07-07 17:00:00 EDT	Overdue (1)	View
did3	108311	22006	2020-07-05 23:22:17 EDT	2020-07-08 17:00:00 EDT	Outstanding (3)	View
	108312	22006	2020-07-05 23:22:17 EDT			
	108316	22034	2020-07-05 23:22:18 EDT			

4. To view error descriptions, hover over the error code value.

CAIS Reporter Portal | 03:09:46 PM EDT | 2020-07-08 | Bob Smith | 5723 Reporting Firm Inc.

Reporter CRD: 5723 Reporting Firm Inc.

Submission Management

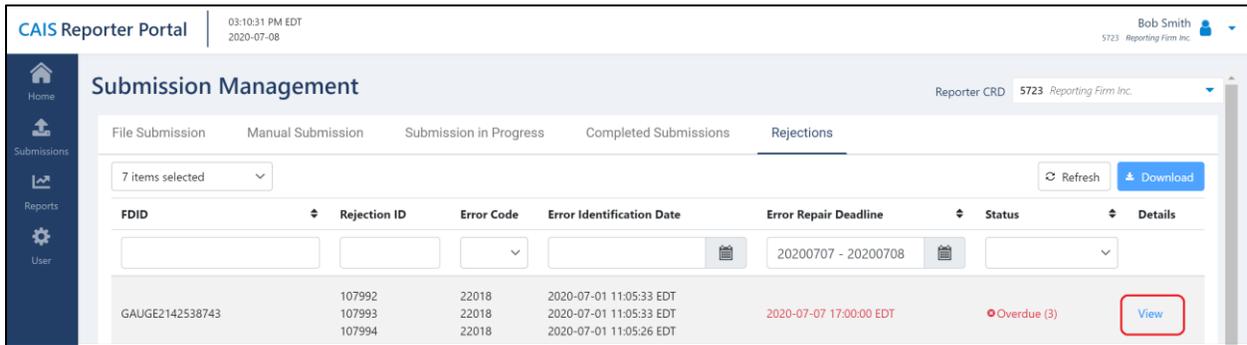
File Submission | Manual Submission | Submission in Progress | Completed Submissions | **Rejections**

7 items selected | Refresh | Download

FDID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status	Details
GAUGE2142538743	107992	22018	2020-07-01 11:05:33 EDT	2020-07-07 17:00:00 EDT	Overdue (3)	View
	107993	22018	2020-07-01 11:05:33 EDT			
	107994	22018	2020-07-01 11:05:26 EDT			
SathyaFdidWith2xxxError	108014	22007	2020-07-01 13:34:15 EDT	2020-07-07 17:00:00 EDT	Overdue (2)	View
	108162	22007	2020-07-02 15:47:35 EDT			

Missing or Invalid format of fdidDate | 2020-07-01 11:05:26 EDT

5. To view further details regarding each rejection, click the **View** link.



5.2. Error Correction via Manual Submission

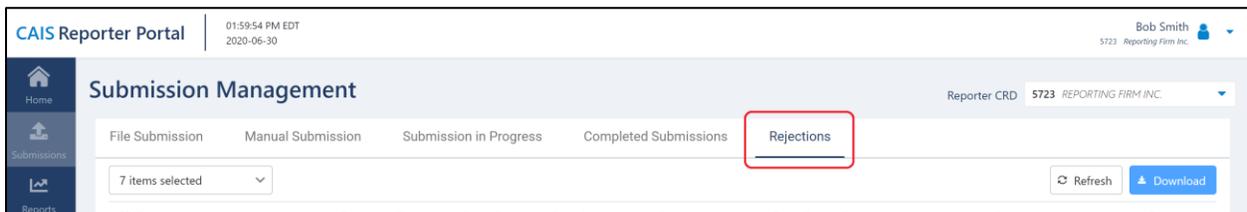
The Portal provides a means by which entitled users can repair all rejected records submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal.

To repair rejected records via manual submission:

1. Select **Submissions**.



2. Select **Rejections**. Optionally, if the FDID is already known, navigate to the **Manual Submission** tab and resubmit the FDID data.



3. Click the **View** hyperlink for an FDID with overdue or outstanding rejections.

The screenshot shows the 'Submission Management' page in the CAIS Reporter Portal. The 'Rejections' tab is active. A table displays rejection data for FDID GAUGE2142538743. The 'View' button for the first row is highlighted with a red box.

FDID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status	Details
GAUGE2142538743	107992	22018	2020-07-01 11:05:33 EDT	2020-07-07 17:00:00 EDT	Overdue (3)	View
	107993	22018	2020-07-01 11:05:33 EDT			
	107994	22018	2020-07-01 11:05:26 EDT			

4. If the record has a data validation error, rejection data will be displayed under the **Data Validation Error(s)** section. To repair a data validation error, click the **Manual Submission** hyperlink.

The screenshot shows the 'Submission Management' page in the CAIS Reporter Portal. The 'Rejections' tab is active. The 'Data Validation Error' section is expanded, showing error details for CAT Reporter CRD 5723. The 'Manual Submission' button is highlighted with a red box.

Error Details

- CAT Reporter CRD: 5723
- FDID: TestingRejections
- Error Repair Deadline: 2020-06-29 17:00:00 EDT
- Status: Overdue

Data Validation Error

Resolve Error(s)	Rejection ID	Submitter ID	Submission ID	FDID Record ID	LTID Record ID	Error Code	Error Identification Date	Status
Manual Submission	107362	bsmith	12261			22005	2020-06-25 12:17:20 EDT	Overdue

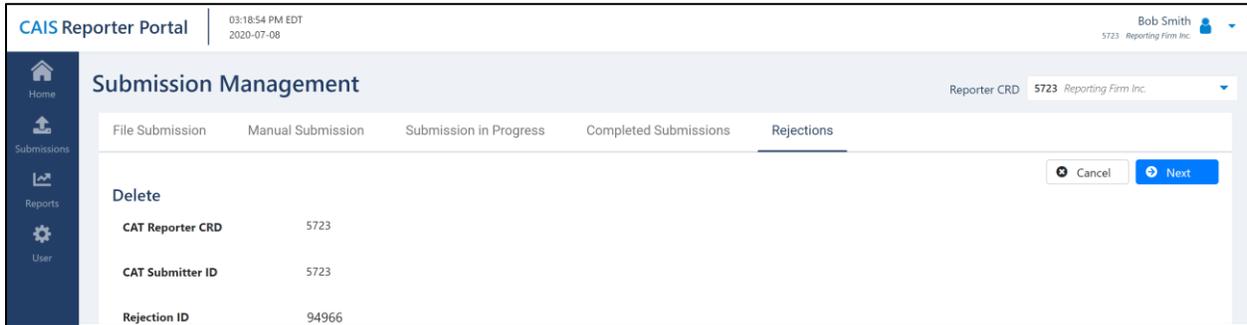
- If the record has a malformed FDID or LTID, rejection data will be displayed under the **Malformed Record(s)** section. Malformed records can be repaired in two ways:

The screenshot shows the CAIS Reporter Portal interface. The top navigation bar includes the CAIS Reporter Portal logo, the current time (03:14:53 PM EDT, 2020-07-08), and the user profile (Bob Smith, 5723 Reporting Firm Inc.). The main content area is titled "Submission Management" and includes a dropdown menu for "Reporter CRD" set to "5723 Reporting Firm Inc.". Below this, there are tabs for "File Submission", "Manual Submission", "Submission in Progress", "Completed Submissions", and "Rejections". The "Rejections" tab is active, showing a "Return to Rejections" link and an "Error Details" section. The error details include: CAT Reporter CRD (5723), FDID (TestingRejections2), Error Repair Deadline (2020-06-12 17:00:00 EDT), and Status (Overdue). Below the error details is a "Malformed Record ID" table with the following columns: Resolve Error(s), Rejection ID, Submitter ID, Submission ID, FDID Record ID, LTID Record ID, Error Code, Error Identification Date, and Status. A row in the table shows a "Correction Delete" button, Rejection ID 94966, Submitter ID bsmith, Submission ID 7796, Error Code 22012, Error Identification Date 2020-06-10 14:54:53 EDT, and Status Overdue.

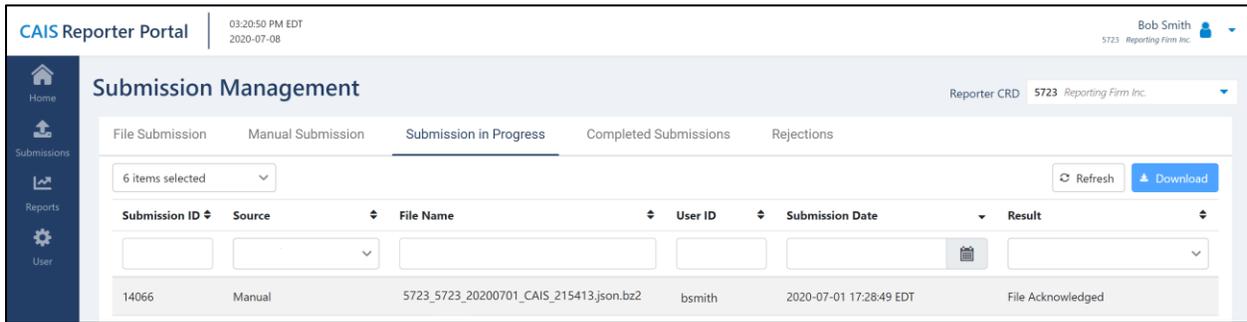
- Correction:** Repair the malformed FDID by submitting a **Correcting FDID** or **Correcting FDID and LTID pairing**, which will take the place of the malformed FDID or LTID. The Correcting FDID or Correcting LTID must already be known to CAIS prior to this correction; otherwise, the user must create the record first via manual, file, or SFTP submission.

The screenshot shows the CAIS Reporter Portal interface. The top navigation bar includes the CAIS Reporter Portal logo, the current time (03:16:49 PM EDT, 2020-07-08), and the user profile (Bob Smith, 5723 Reporting Firm Inc.). The main content area is titled "Submission Management" and includes a dropdown menu for "Reporter CRD" set to "5723 Reporting Firm Inc.". Below this, there are tabs for "File Submission", "Manual Submission", "Submission in Progress", "Completed Submissions", and "Rejections". The "Rejections" tab is active, showing a "Correction" section. The correction form includes: CAT Reporter CRD (5723), CAT Submitter ID (5723), FDID (TestingRejections2), and Rejection ID (94966). A "Correcting LTID" field is highlighted with a red box, containing the text "LTID". There are "Cancel" and "Next" buttons in the top right corner. A warning message at the bottom states: "If the Correction LTID does not already exist in CAIS, please submit the LTID before correcting this rejection. [Click here](#) to make a manual submission."

- **Delete:** Repair the malformed FDID or LTID by deleting the malformed submission. No record of the malformed FDID or LTID will be stored.



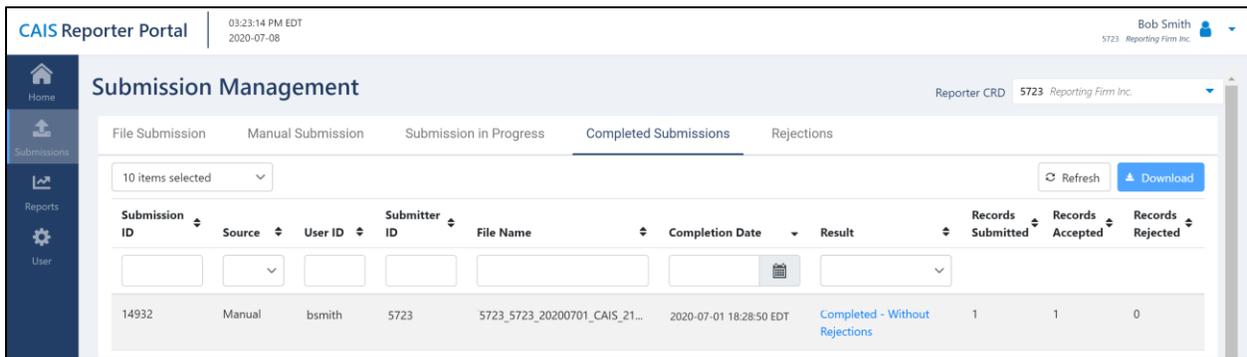
6. When the correcting file is submitted successfully, the user will be routed to the **Submissions in Progress** tab to view the status of the submission.



- The **Submission ID** column displays the unique identifier assigned to each submission to CAIS.
- The **Source** column indicates whether the submission was made via the manual submission process, the file submission process, or the SFTP.
- The **File Name** column displays the full name of each file submitted. The acceptable syntax of file names is described in **Section 5.1** of the CAIS Technical Specification document.
- The **User ID** column indicates which user submitted each file.
- The **Submission Date** column indicates the date and time on which the file was submitted.
- The **Result** column indicates which step of processing that each file is currently in.

- **File Acknowledged** indicates the file was acknowledged as having been submitted, and has been picked up for file integrity checks.
- **File Integrity Passed** indicates the file passed file integrity checks, and will now be processed through record data validations.
- **Record Scan Completed** indicates the file has completed record validations.

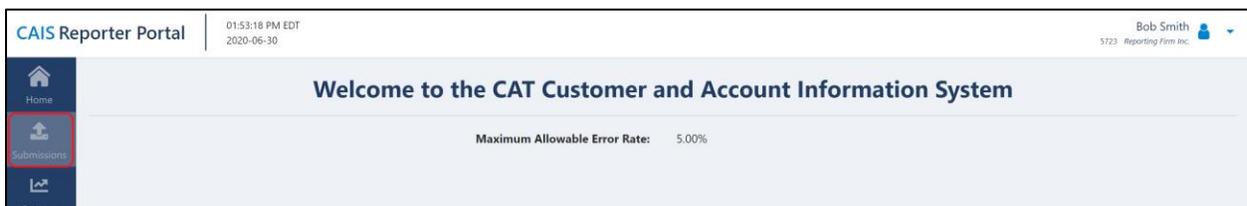
7. When the correcting file has completed processing, metadata for the submission will be displayed in the **Completed Submissions** tab.



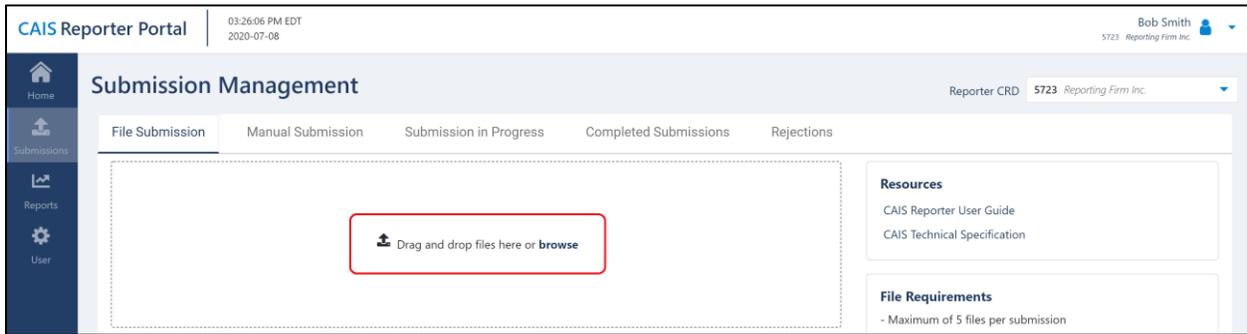
5.3. Error Correction via File Submission

To repair rejected records via file submission:

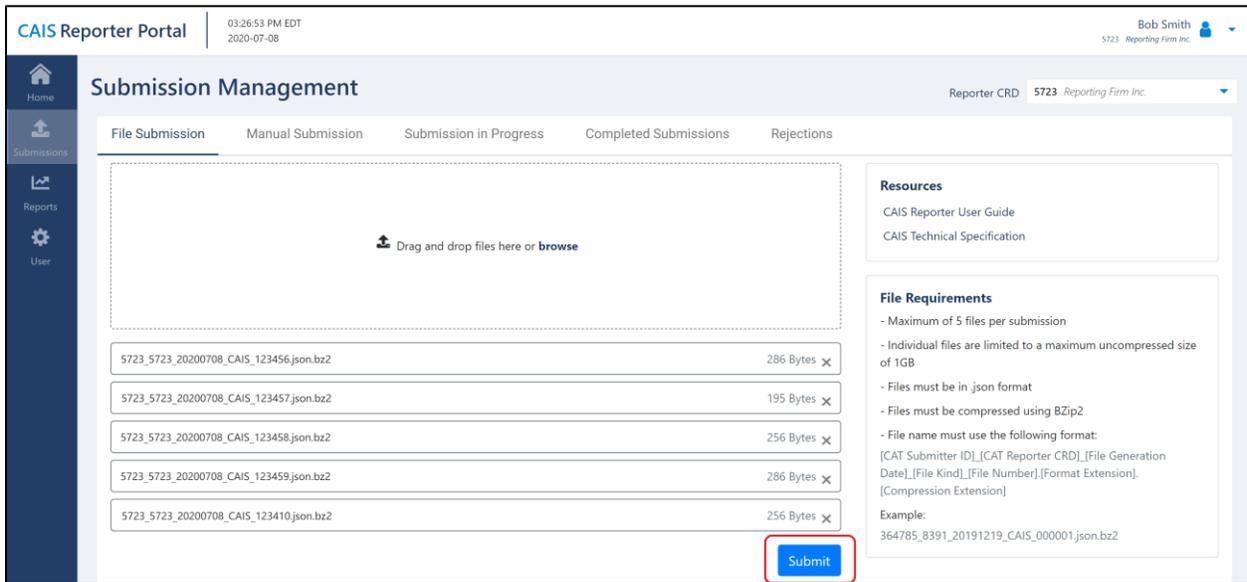
1. Select **Submissions**.



2. **Drag-and-drop** or use the **browse** functionality to select the file(s).



3. When all desired files have been selected, or when the upload limit has been reached, click **Submit**.



- When the file has been successfully submitted, the user will be routed to the **Submissions in Progress** tab to view the status of the submission.

CAIS Reporter Portal | 03:35:57 PM EDT 2020-07-08 | Bob Smith 5723 Reporting Firm Inc.

Submission Management | Reporter CRD: 5723 Reporting Firm Inc.

File Submission | Manual Submission | **Submission in Progress** | Completed Submissions | Rejections

6 items selected | Refresh | Download

Submission ID	Source	File Name	User ID	Submission Date	Result
14936	File	5723_5723_20200708_CAIS_123456.json.bz2	bsmith	2020-07-08 17:29:52 EDT	File Acknowledged
14935	File	5723_5723_20200708_CAIS_123457.json.bz2	bsmith	2020-07-09 17:29:52 EDT	File Acknowledged
14934	File	5723_5723_20200708_CAIS_123458.json.bz2	bsmith	2020-07-08 17:29:52 EDT	File Acknowledged
14933	File	5723_5723_20200708_CAIS_123459.json.bz2	bsmith	2020-07-09 17:29:52 EDT	File Acknowledged
14932	File	5723_5723_20200708_CAIS_123410.json.bz2	bsmith	2020-07-08 17:29:52 EDT	File Acknowledged

- When the file has completed processing, metadata for the submission will be displayed in the **Completed Submissions** tab.

CAIS Reporter Portal | 03:54:17 PM EDT 2020-07-08 | Bob Smith 5723 Reporting Firm Inc.

Submission Management | Reporter CRD: 5723 Reporting Firm Inc.

File Submission | Manual Submission | Submission in Progress | **Completed Submissions** | Rejections

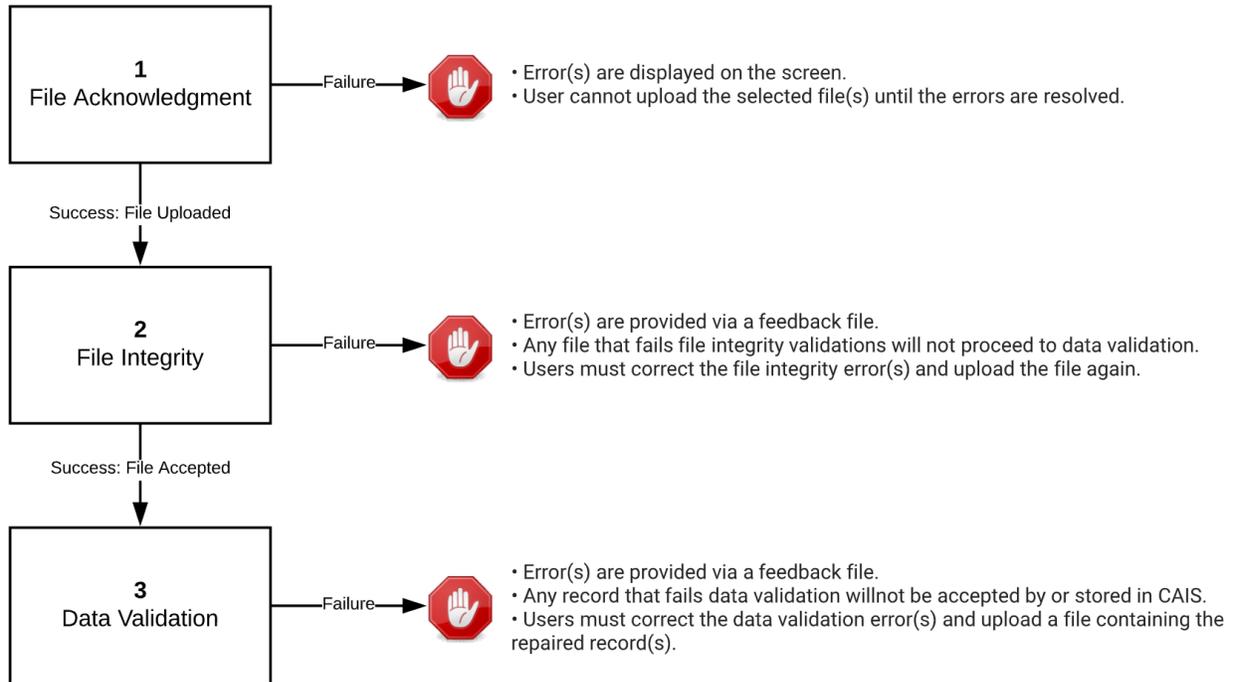
10 items selected | Refresh | Download

Submission ID	Source	User ID	Submitter ID	File Name	Completion Date	Result	Records Submitted	Records Accepted	Records Rejected
14936	File	bsmith	5723	5723_5723_20200708_CAIS_123...	2020-07-08 15:19:17 EDT	Completed - Without Rejections	4	4	0
14937	File	bsmith	5723	5723_5723_20200708_CAIS_123...	2020-07-08 14:53:06 EDT	Completed - Without Rejections	42	42	0
14938	File	bsmith	5723	5723_5723_20200708_CAIS_123...	2020-07-08 14:42:56 EDT	Completed - Without Rejections	1	1	0
14939	File	bsmith	5723	5723_5723_20200708_CAIS_123...	2020-07-08 13:40:49 EDT	Completed - Without Rejections	192	192	0
14940	File	bsmith	5723	5723_5723_20200708_CAIS_123...	2020-07-08 11:47:51 EDT	Completed - Without Rejections	14	14	0

6. Report to CAIS

6.1. Upload Data to CAIS

Data files uploaded to CAT via the Portal are processed in three distinct phases:



6.1.1. File Processing

1. File acknowledgment

Prior to uploading files via the Portal, CAIS validates that:

- Each file name is unique and in the appropriate format.
- Each file is individually compressed using BZip2.
- Each file is in .json format.
- Each file is less than 1GB in size.
- The Submitter ID in each file name is that of the logged-in user's organization.
- The CAT Reporter CRD in each file name has an authorized Reporting Relationship to the Submitter ID

- The File Generation Date in the file name is a current or prior date.
- The entire submission does not exceed five files.

Failure to meet the specified requirements prevents the user from uploading the file via the Portal. Once a file is successfully uploaded, the file is processed through the following phases, with feedback being provided via the Portal at each stage. See **Section 6.2** below for details on retrieving feedback via the Portal.

2. File Integrity

After the file has been uploaded via the Portal, CAIS performs additional file-level validations. Failure to meet specified requirements results in the rejection of the file. See **Appendix B** in the CAIS Industry Member Technical Specifications for a comprehensive list of file integrity validations.

3. Data Ingestion

For each file that passes file integrity validations, CAIS performs record-level validations. Failure to meet the specified requirements results in the record being rejected. See **Appendix B** in the CAIS Industry Member Technical Specifications for a comprehensive list of data ingestion validations.

6.1.2. Upload Data File

Entitled users may provide CAIS data via the Portal by manually uploading data files. The following information provides details on how to upload and submit files via the Portal. For details on the expected format and content of the files, see the CAT Reporting Customer and Account Technical Specifications for Industry Members.

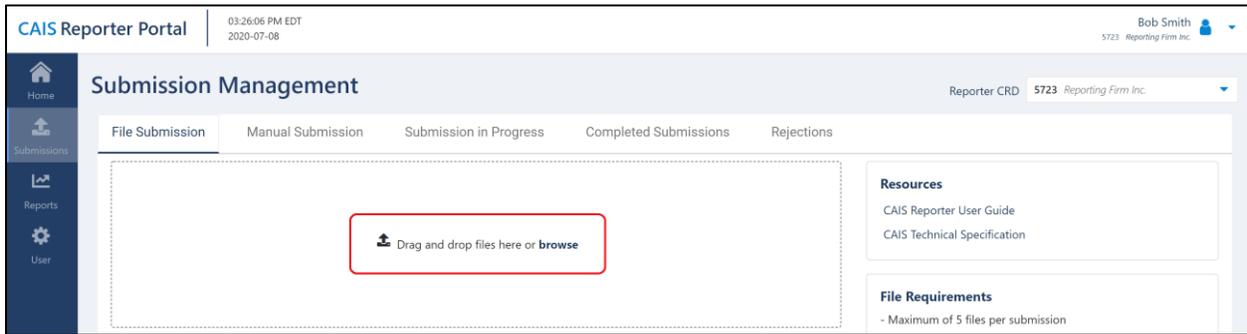
A single submission may not exceed five files or 5GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To upload one or more data files:

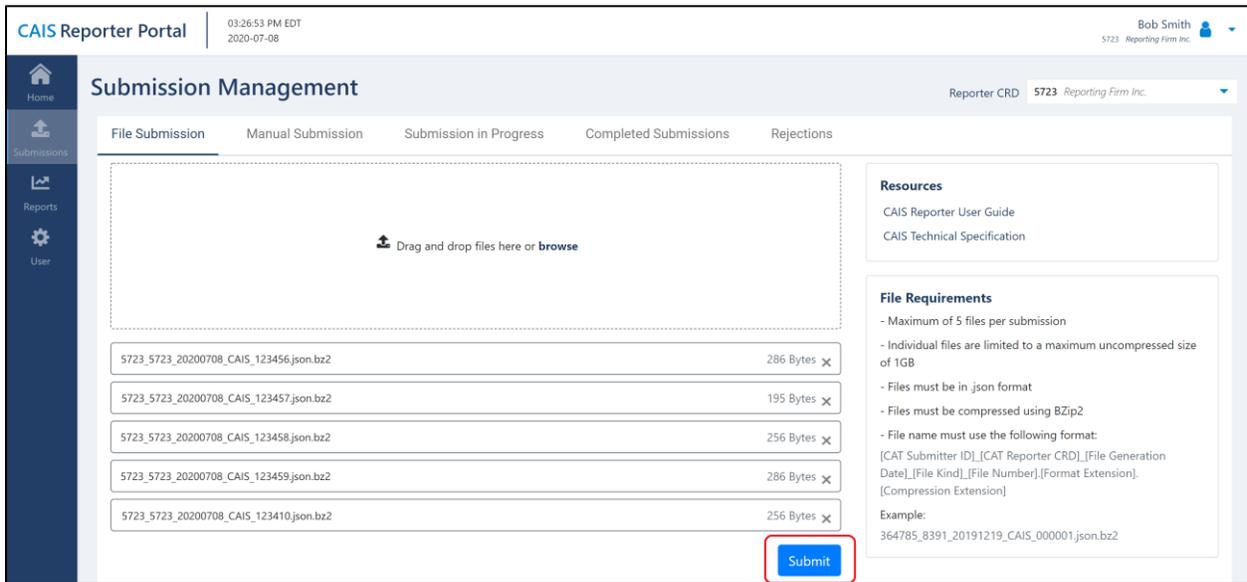
1. Select **Submissions**.



2. **Drag-and-drop** or use the **browse** functionality to select the desired file(s).



3. When all desired files have been selected, or when the upload limit has been reached, click **Submit**.



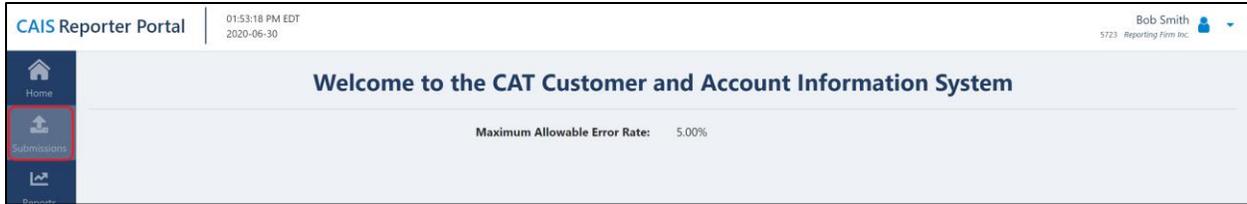
Once the files are successfully uploaded, each file goes through file integrity validation and data validation. Users may access any corresponding feedback via the Download Feedback File functionality.

6.1.3. Manually Report Data to CAIS

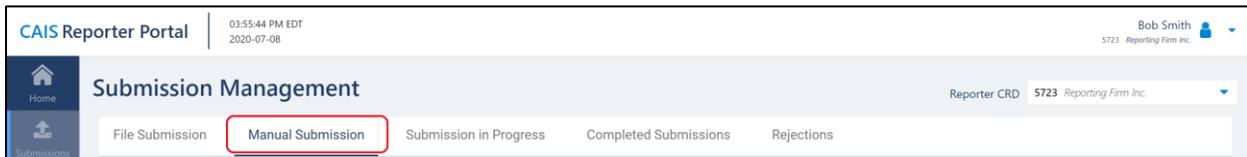
Entitled users may provide CAIS data via the Portal by manually reporting individual FDID and LTID records. The following information provides details on how to manually submit data to CAIS via the Portal.

To manually submit records:

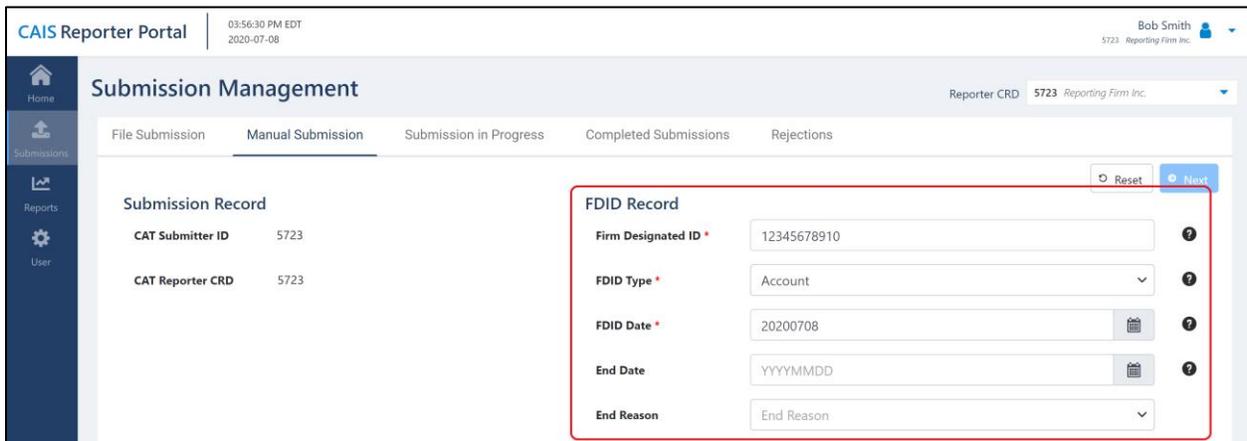
1. Select **Submissions**.



2. Select **Manual Submission**.



3. Enter a value for each applicable field in the **FDID Record** section.



- **Firm Designated ID:** Enter the Firm Designated ID associated with the account.
- **FDID Type:** Select either account or relationship depending on the Firm Designated ID type.
- **FDID Date:** Enter the date on which the account was opened, or the Account Effective Date, as defined in Section 1.1 of the CAT NMS Plan.
- **End Date:** Optionally, enter the date on which the account or relationship was ended. This field is required if there is an End Reason applied.

- **End Reason:** Optionally, select the reason for which the account or relationship was ended. This field is required if there is an End Date applied.
- **Replaced By FDID:** If “Replaced” is selected as the End Reason, enter the FDID which is replacing the FDID in question.

4. If desired, click the **Add Association** button in the **FDID Record Associations** section to add a new LTID association or modify an existing one. This button will be disabled until required fields in the **FDID Record** section are populated. Enter appropriate values for each field in the **LTID Association** section.

The screenshot displays the CAIS Reporter Portal interface. At the top, it shows the user's name 'Bob Smith' and the reporting firm '5723 Reporting Firm Inc.' The main navigation bar includes 'Home', 'Submissions', 'Reports', and 'User'. The 'Manual Submission' tab is active, showing a 'Submission Record' with 'CAT Submitter ID' and 'CAT Reporter CRD' both set to 5723. The 'FDID Record' section contains fields for 'Firm Designated ID' (12345678910), 'FDID Type' (Account), 'FDID Date' (20200708), 'End Date' (YYYYMMDD), and 'End Reason'. Below this is the 'FDID Record Associations' section, which includes a 'Large Trader ID (LTID)' dropdown and an 'Add Association' button. A red box highlights the 'LTID Association' form, which contains fields for 'Large Trader ID' (12345678-0001), 'Effective Date' (20200708), 'End Date' (YYYYMMDD), and 'End Reason'. The 'Add' button is visible in the top right of this form.

- **Large Trader ID:** Enter the Large Trader ID associated with the Firm Designated ID.
- **Effective Date:** Enter the date on which the LTID became associated to the FDID within the CAT Reporter’s system.
- **End Date:** Optionally, enter the date on which the association was ended. This field is required if there is an End Reason applied.
- **End Reason:** Optionally, select the reason for which the association was ended. This field is required if there is an End Date applied.

5. Once appropriate fields have been populated for the LTID, click the **Add** button to add the data to the submission file.

CAIS Reporter Portal | 04:05:46 PM EDT | 2020-07-08 | Bob Smith | 5723 Reporting Firm Inc.

File Submission | **Manual Submission** | Submission in Progress | Completed Submissions | Rejections

Submission Record

CAT Submitter ID 5723

CAT Reporter CRD 5723

FDID Record

Firm Designated ID * 12345678910

FDID Type * Account

FDID Date * 20200708

End Date YYYYMMDD

End Reason End Reason

FDID Record Associations | LTID Association

Reset | Next

Cancel | **Add**

Please add or select an association to update. Associations can only be added when the

- If this association needs to be modified after this step, click the LTID in the FDID Record Associations section, then make appropriate modifications.
- If this association needs to be removed after this step, click the LTID in the FDID Record Associations section, then click the **Remove** button.
- If one or more additional LTIDs need to be added, repeat the above process for each LTID association.

CAIS Reporter Portal | 04:07:17 PM EDT | 2020-07-08 | Bob Smith | 5723 Reporting Firm Inc.

File Submission | **Manual Submission** | Submission in Progress | Completed Submissions | Rejections

Submission Record

CAT Submitter ID 5723

CAT Reporter CRD 5723

FDID Record

Firm Designated ID * 12345678910

FDID Type * Account

FDID Date * 20200708

End Date YYYYMMDD

End Reason End Reason

FDID Record Associations | LTID Association

Reset | Next

Cancel | **Remove**

Please add or select an association to update. Associations can only be added when the

6. Once all desired fields have been populated, click the **Next** button.

CAIS Reporter Portal | 04:08:36 PM EDT | 2020-07-08 | Bob Smith | 5723 Reporting Firm Inc.

Submission Management

Reporter CRD 5723 Reporting Firm Inc.

File Submission | **Manual Submission** | Submission in Progress | Completed Submissions | Rejections

Submission Record | FDID Record

Reset | **Next**

7. A summary of the data and metadata to be submitted is displayed. Ensure all data is accurate and click the **Submit** button.



Once the manual submission file is successfully uploaded, it is processed through file integrity validation and data validation. Users may access any corresponding feedback via the Download Feedback File functionality.

6.2. Download Feedback File

Entitled users may download file feedback via the Portal. **Feedback may only be downloaded for data files that were uploaded via the Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).**

To download a feedback file:

1. Select **Submissions**.



2. Select **Completed Submissions**.



3. Utilize the **sort** and **filter** functionalities to locate the submission for which the feedback file was generated. Once the file is located, click the **Result** hyperlink and the feedback file download will commence. The **Result** column will display one of three values:

- **Completed – Without Rejections:** All records in the file were processed successfully and accepted by CAIS without data validation errors.
- **Completed – With Rejections:** Some records in the file were processed successfully and accepted by CAIS, but some records in the file were not processed and were rejected by CAIS due to a data validation error.
- **Completed – Integrity Error:** No records in the file were processed successfully, and the file as a whole was rejected by CAIS due to a file integrity error.

CAIS Reporter Portal | 03:54:17 PM EDT 2020-07-08 | Bob Smith 5723 Reporting Firm Inc.

Submission Management | Reporter CRD 5723 Reporting Firm Inc.

File Submission | Manual Submission | Submission in Progress | **Completed Submissions** | Rejections

10 items selected | Refresh | Download

Submission ID	Source	User ID	Submitter ID	File Name	Completion Date	Result	Records Submitted	Records Accepted	Records Rejected
14936	File	bsmith	5723	5723_5723_20200708_CAIS_123...	2020-07-08 15:19:17 EDT	Completed - Without Rejections	4	4	0

7. CAIS Reporting Relationships

A CAIS Reporting Relationship establishes a link between a CAT Reporter and a Submitter for purposes of transmitting and viewing CAIS data. A relationship is comprised of:

- **One CAT Reporter.** This identifies the firm that is required to submit data to CAIS and for which data may be transmitted and viewed.
- **One Submitter.** This identifies the organization that may transmit and view data on behalf of the CAT Reporter/CRD.

A reporting relationship must be manually created in the CAT Transaction Portal before a Submitter may transmit data on behalf of the CAT Reporter. **Only the CAT Reporter can create and manage Reporting Relationships.** A CAT Reporter may have multiple active relationships at any time. Self-reporting firms are not required or able to establish a self-reporting relationship.

Information regarding the methods to view and manage CAIS Reporting Relationships via the Portal is provided below. CAIS Reporting Relationships are **view-only** in the CAIS application. **All CAIS Reporting Relationship management occurs in the CAT Transaction Reporter Portal.**

7.1. Usage of Reporting Relationships

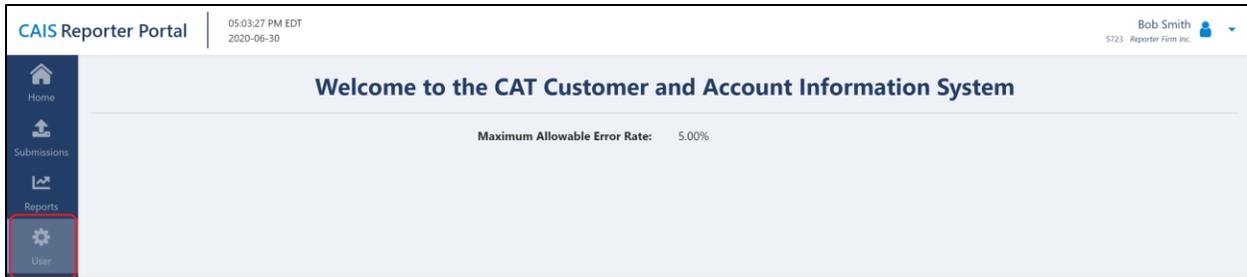
A reporting relationship allows the Submitter to transmit data on behalf of the CAT Reporter. This includes the ability to submit data and to view feedback for and make corrections to that data. **A Submitter may only view and make corrections to data from a CAT Reporter for which they are authorized to submit.**

7.2. View CAIS Reporting Relationships

CAIS Reporting Relationships are **view-only** in the CAIS application. See the following section for information on creating and managing CAIS Reporting Relationships in the CAT Transaction Portal.

To view all Reporting Relationships for the organization:

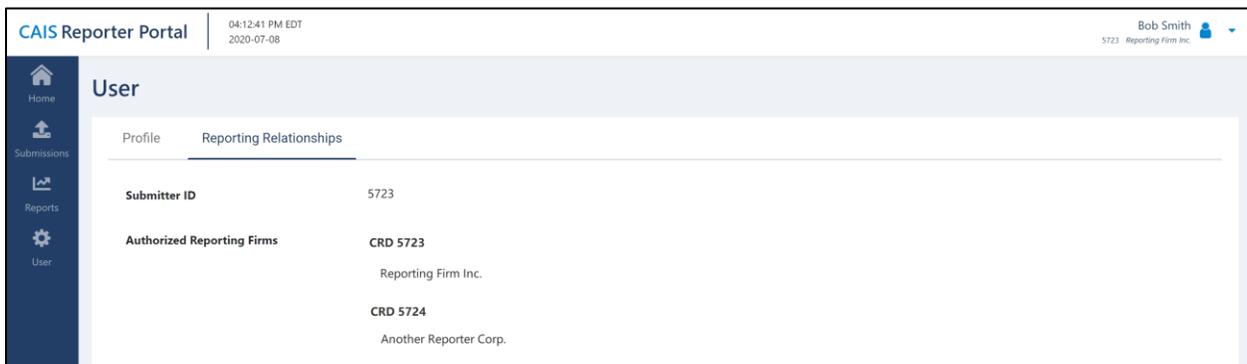
1. Select **User**.



2. Select **Reporting Relationships**.



3. The user's **Submitter ID**, **CAT Reporter CRD** (if applicable), and **authorized Reporting Relationships** are displayed.



CAIS Reporting Relationships cannot be changed or removed from within the CAIS Reporter Portal. All Reporting Relationship management will occur within the CAT Reporter Portal.

7.3. Create and Manage CAIS Reporting Relationship

All CAT CAIS Reporting Relationships must be created and managed within the CAT Transaction Reporter Portal. For information on accessing the CAT Transaction Reporter Portal directly, see the Industry Member CAT Reporter Portal User Guide at <https://www.catnmsplan.com/registration>.

7.3.1. CAIS Reporting Relationship Fields, Rules, and Validations

Each CAIS Reporting Relationship includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT Reporter CRD ID	The unique CRD identifier of the Firm to which the logged-in user account is associated.	Yes	Derived by system	---
Submitter	The CRD Number for the CAT Reporting Agent/Submitter.	Yes	Dropdown Selection	Must not be the CRD Number of the CAT Reporter.
Effective Date	The first date on which the CAIS Reporting Relationship is/was available for submitting and managing data.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.
Expiration Date	The last date on which the CAIS Reporting Relationship is/was available for submitting and managing data.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

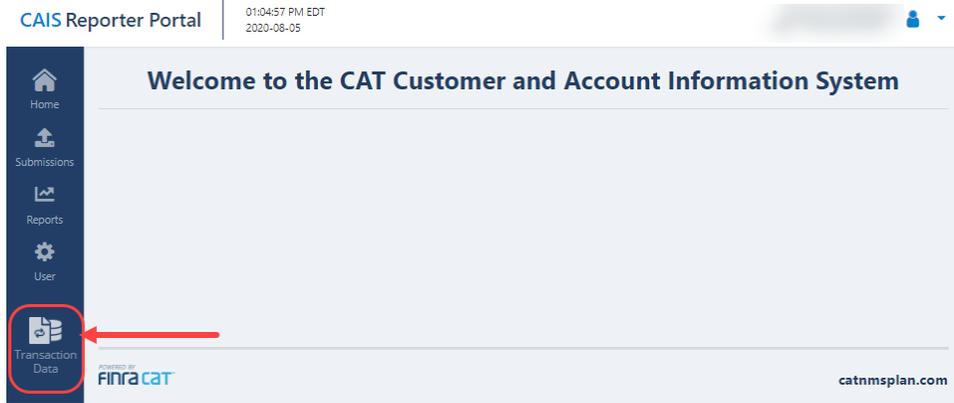
7.3.2. Duplicate and Overlapping CAIS Reporting Relationships

To ensure data integrity, CAT does not allow two CAIS reporting relationships to duplicate one another. When determining if two relationships would be duplicative, CAT considers the CAT Reporter CRD ID and Submitter as well as the Effective and Expiration Dates.

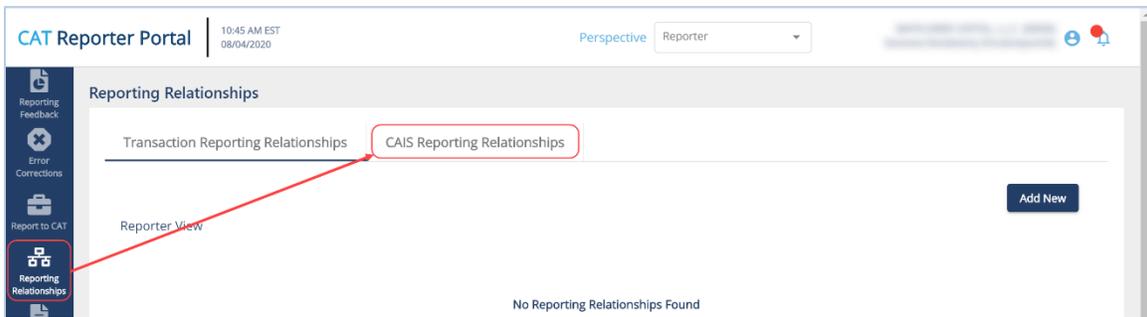
7.3.3. View and Export CAIS Reporting Relationships

To manage all CAIS Reporting Relationships for the Firm:

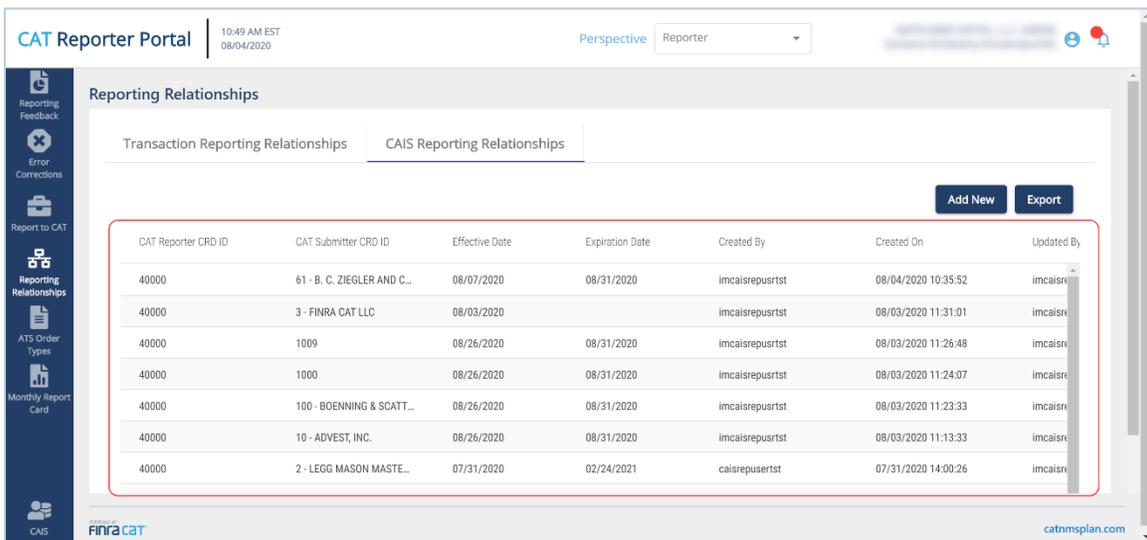
1. Click  to access the CAT Transaction Reporting Portal.



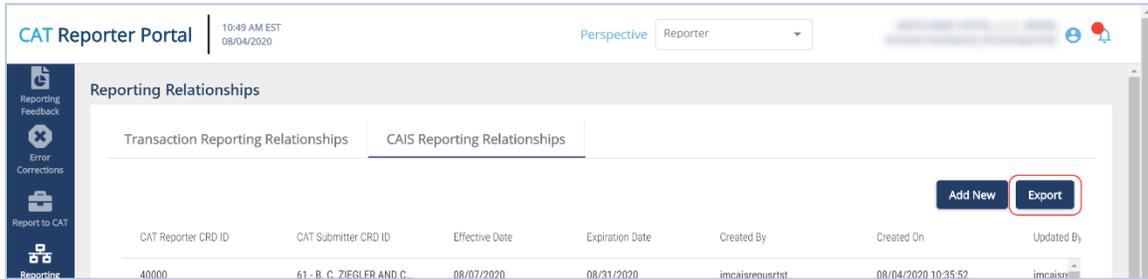
2. Click Reporting Relationships > CAIS Reporting Relationships.



3. All CAIS reporting relationships for the Firm are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.



- To **export** a list, click **Export**. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported. Download the generated CSV file using the internet browser functionality.

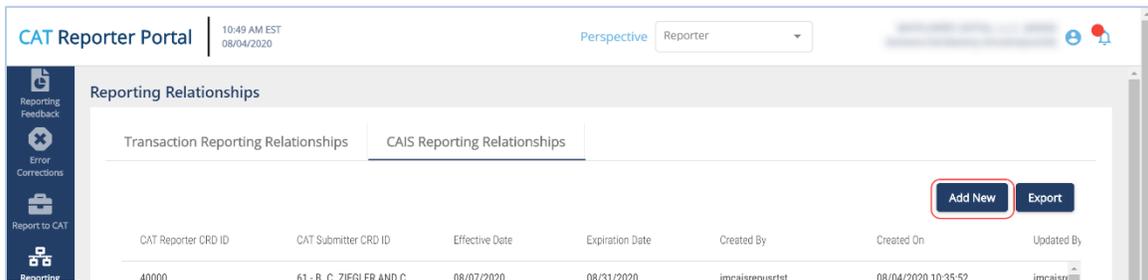


7.3.4. Add a CAIS Reporting Relationship

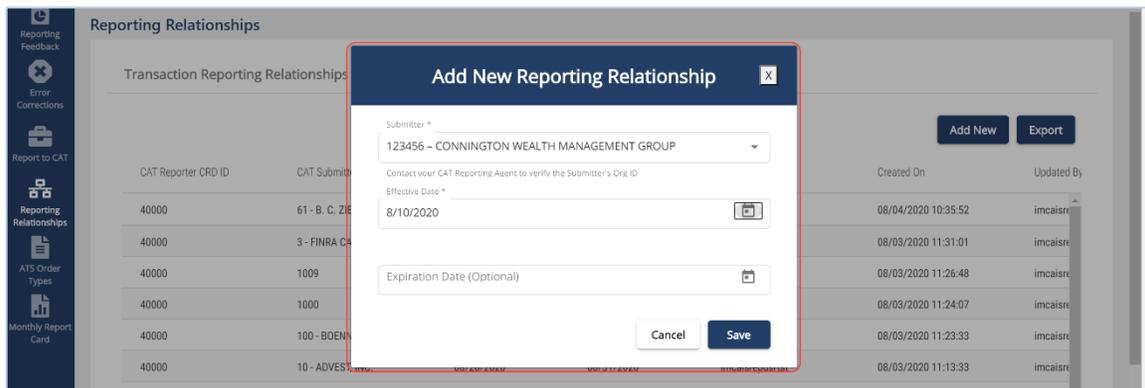
The CAT Reporter must create a CAIS Reporting Relationship before the Submitter is able to act on its behalf.

To **add** a new CAIS Reporting Relationship:

- Click **Add New**.



- Enter the details for the relationship. See [CAIS Reporting Relationship Fields, Rules, and Validations](#) above for details on field requirements, formats, and validations.



3. Click **Save**. The new relationship is displayed on the CAIS Reporting Relationships list.

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
40000	123456 - CONNINGTON W...	08/10/2020		imcaisrepusrst	08/04/2020 10:54:38	imcaisrepusrst	08/04/2020 10:54:38	
40000	61 - B. C. ZIEGLER AND C...	08/07/2020	08/31/2020	imcaisrepusrst	08/04/2020 10:35:52	imcaisrepusrst	08/04/2020 10:36:07	

7.3.5. Manage Existing CAIS Reporting Relationships

A relationship may be edited as follows:

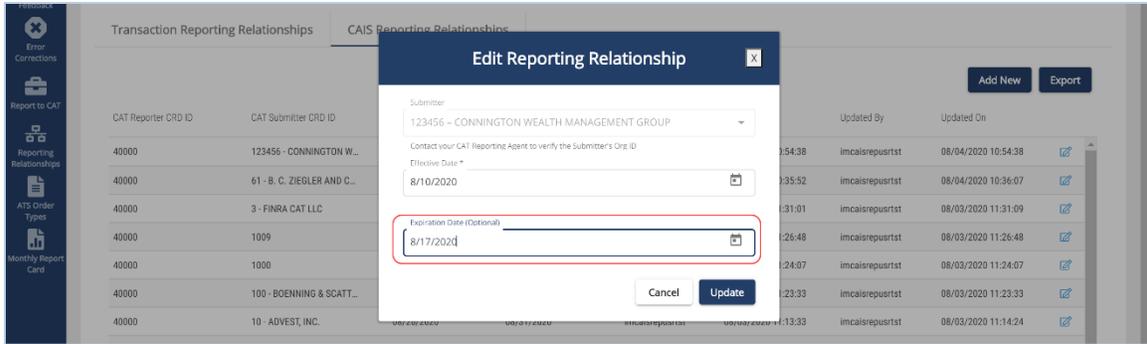
- For a **future-dated relationship** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active relationship** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), only the *Expiration Date* may be edited.
- For an **expired relationship** (where the *Expiration Date* is before the current date), no fields may be edited.

To edit a non-expired CAIS Reporting Relationship:

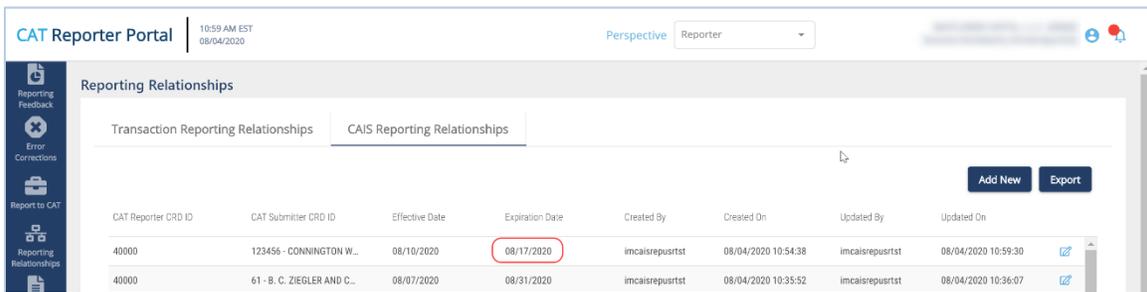
1. Click for the relationship.

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
40000	123456 - CONNINGTON W...	08/10/2020		imcaisrepusrst	08/04/2020 10:54:38	imcaisrepusrst	08/04/2020 10:54:38	
40000	61 - B. C. ZIEGLER AND C...	08/07/2020	08/31/2020	imcaisrepusrst	08/04/2020 10:35:52	imcaisrepusrst	08/04/2020 10:36:07	

2. Make the desired update(s). See [CAIS Reporting Relationship Fields, Rules, and Validations](#) above for details on field requirements, formats, and validations.



3. Click **Update**. The updated information is displayed CAIS Reporting Relationships list.



8. Administrative Information

8.1. Announcements

This section is intentionally left blank.

8.2. System Status

This section is intentionally left blank.