
Industry CAT CAIS LTID Test Release Status

November 18, 2020

Agenda

- Industry Test Release Update
- General Announcements & Reminders
- Q&A

Industry CAT CAIS LTID Test Release Update

Industry Member Release Rollout

Live in Industry Test

08/20/2020

CAIS LTID Registration

08/24/2020

Industry Test Release
CAIS LTID 1.0

- CAIS LTID Reporter Portal Industry Test Open
- Industry Test Open for Machine-to-Machine File & Data Integrity Validations & Feedback
- CAIS LTID Reporter Portal Manual Submission and File Upload

10/05/2020

CAIS LTID Certification
Opens

- CAIS LTID Reporter Certification
- CAIS LTID Reporting Agent Certification
- CAIS LTID Registration Deadline for firms expecting to submit

12/14/2020

CAIS LTID Production
Opens

- CAIS LTID Reporter Portal Production Opens
- CAIS LTID Production Opens for Machine-to-Machine File & Data Integrity Validations & Feedback
- CAIS LTID Reporter Portal Manual Submission and File Upload
- CAIS LTID Reporter Statistics available

4/26/2021

CAIS LTID Mandatory
Reporting

- CAIS LTID reporting required for Phases 2a, 2b, and 2c (Large Industry Members)
- CAIS LTID Rejection Repair timeline enforced

Industry Test Status CAIS LTID – As of November 17th, 2020

| Item | Statistic – Last Week | Statistic – This Week | Increase/Decrease |
|----------------------------|--|--|-------------------|
| Number of Firms Registered | 546 | 550 (thru 11/12) | Increased by 4 |
| Number of Firms Certified | 1 | 1 (thru 11/12) | Unchanged |
| Number of Total Submitters | 18 | 19 | Increased by 1 |
| Number of Unique Firms | 14 | 15 | Increased by 1 |
| Number of Files Received | 110 • Reporter Portal: 71 • SFTP: 39 | 120 • Reporter Portal: 74 • SFTP: 46 | Increased by 10 |
| Number of Files Rejected | 32 | 34 | Increased by 2 |
| File Reject Rate | 29.09% | 28.33% | 0.76% Decrease |

Industry Test Status CAIS LTID – November 2nd – November 13th, 2020 Statistics

| CAT Processing Date | Records Accepted | Records Rejected | Record Rejection Rate |
|---------------------|------------------|------------------|-----------------------|
| 11/02/20 – 11/06/20 | 3,537 | 10,498 | 74.80% |
| 11/09/20 – 11/13/20 | 11 | 9 | 45.00% |
| Totals | 3,548 | 10,507 | 74.76% |

CAT CAIS LTID Reporting Certification

- Certification opened on October 5th – giving Industry Members and their Reporting Agents over 6 months to certify prior to the CAIS LTID compliance deadline.
- The CAIS LTID test environment will be used for certification.
- Registration for CAIS LTID requires Reporters to indicate their approximate number of FDIDs that have associated LTIDs.
- For Reporting Agents, this should be the aggregate total of all FDIDs with associated LTIDs.
- Only Reporters and Reporting Agents that pass certification will be able to submit data into the Production environment.

CAIS LTID Certification Requirements

- Reporters must successfully submit FDIDs with LTIDs with an error rate of 10% or less.
- Reporters with fewer than 100 FDIDs with LTID associations should submit all of their FDIDs to be certified. Reporters with 100 or more FDIDs with LTIDs should submit at least 100 FDIDs to be certified.
- Reporters with no accounts with LTID associations may certify using mock data to demonstrate their ability to successfully format for and transmit data to CAIS. – Updated guidance in the Onboarding Guide, published on 9/15
- Reporting Agents should use the aggregate total of all FDIDs with associated LTIDs to determine their Certification level, however they should include at least one FDID from every CRD for which they report.
- Reporters that have no LTIDs to report should still complete the LTID Registration form in order to be able to quickly Certify and report if or when they have a reporting requirement in the future.

CAT CAIS LTID Open Issues List – As of 11/17/2020

Release Planned/Workaround Provided

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production Environment Targeted Release Date/Workaround | Area |
|---|--------|------------|--|--------------|----------|---|---|-----------------|
| 1 | Open | N/A | Using Private Line or Private Link, logout from MDP does not automatically logout user on CAIS – (SRG works fine) | Code Release | Medium | Workaround: As a workaround, the user can navigate to CAIS and click the logout button. After 30 mins of inactivity the user will be automatically logged out. Long term fix: Release planning in progress | N/A | Reporter Portal |
| 2 | Open | N/A | CAIS Technical Specifications schema discrepancy regarding field: 'firmDesignatedID'. Alphanumeric (current) vs Text String (intended) to allow for ASCII chars. | Code Release | High | Workaround: N/A Long term fix: Included in 12/6 release to CT | N/A | Reporter Portal |
| 3 | Open | N/A | Null value in CAT Reporter Organization Name reporting relationship generates not-null exception & terminates file submission. | Code Release | Medium | Workaround: N/A Long term fix: Included in 11/23 release to CT | N/A | Reporter Portal |
| 4 | Open | N/A | Leading (padded) zeroes within numeric JSON attribute cause parsing error after file validation – submission does not reach COMPLETED state. | Code Release | Medium | Workaround: Remove leading zeroes and re-submit Long term fix: Release planning in progress | N/A | Reporter Portal |

CAT CAIS LTID Resolved Issues List – As of 11/17/2020

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production Environment Targeted Release Date/Workaround | Area |
|---|----------|------------|--|--------------|----------|--|---|-----------------|
| 1 | Resolved | N/A | Defining a customer reporting relationship without an expiration date causes all users for the CAT Submitter firm to no longer be able to login to CAIS. | Code Release | Medium | Workaround: Update the customer reporting relationship to have an expiration date set far in the future. Long term fix: Included in 11/9 release. | N/A | Reporter Portal |
| 2 | Resolved | N/A | Feedback File – absent fields: <ul style="list-style-type: none"> • 'receivedCorrectionActionCount' • 'successfulCorrectionActionCount' • 'version' | Code Release | Medium | Workaround: N/A Long term fix: Included in 11/9 release. | N/A | Reporter Portal |
| 3 | Resolved | 21010 | Submission file naming convention does not allow <Group>. Generates 'File Integrity Error' response. | Code Release | Medium | Workaround: N/A Long term fix: Included in 11/9 release. | N/A | Reporter Portal |

General Announcements & Reminders

FINRA CAT Reminders

- CAT CAIS LTID Checkpoint Calls to be held monthly on Wednesdays at 4:15 E.T. – next call is scheduled for 12/9
- Updated Reporter Portal User Guide with updates for the Submission Report was posted on 11/4 on catnmsplan.com
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com

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.

FINRA CAT Helpdesk

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