

TSWG (CAIS) Q&A  
3/2/2021

1. If a broker-dealer opens a customer account on January 1, 2021 and has a record of this date, and the account transmits its first order for a CAT-reportable security on August 31, 2022, how should the *fdidDate* field for this account's FDID be populated in CAIS?
2. A broker-dealer acquired an account through an acquisition and knows only the acquisition date but not the date the target firm opened the account. Is it permitted for the broker-dealer to report the acquisition date as the *fdidDate* in CAIS?
3. What source should Industry Members use to identify and report the *bankDepositoryID*?
4. Where Industry Member A is the introducing broker for an account and Industry Member B is the clearing broker for the same account, what values, if any, should each report as the *clearingBrokerID*? What if Industry Member A is self-clearing?