
Industry CAT CAIS LTID Test Release Status

May 5, 2021

Agenda

- Industry Test Release Update
- Open Issues List
- Recently Closed Issues
- Planned Enhancements
- 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

CAIS LTID Phase Statistics – Through May 2nd, 2021

Production Environment			
	Last Week	This Week	Change (+/-)
Number of Firms Registered	1,209	1,218	+ 9
Number of Firms Certified	949	957	+ 8
Number of Total Submitters	158	183	+ 25
Number of Unique Firms	641	845	+ 204
Number of Files Received	Total: 14,651 Reporter Portal: 2,091 SFTP: 12,560	Total: 19,190 Reporter Portal: 3,032 SFTP: 16,158	+ 4,539
Number of Files Rejected	80	168	+ 88
File Reject Rate	0.55%	0.88%	+ 0.33%

CAIS LTID Phase Statistics – April 19th – May 2nd, 2021

Production Environment			
CAT Processing Date	4/19/21 – 4/25/21	4/26/21 – 5/2/21	Totals
Records Accepted	15,459,054	26,005,850	41,464,904
Records Rejected	254	106,982	107,236
Total Records	15,459,308	26,112,832	41,572,140
Record Rejection Rate	0.00%	0.41%	0.26%

CAT CAIS LTID Open Issues List – As of 05/04/2021

Release Planned/Workaround Provided

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
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	Low	<p>Workaround: User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity.</p> <p>Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet.</p> <p>Fix: Release planning in progress.</p>	<p>Workaround: User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity.</p> <p>Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet.</p> <p>Fix: Release planning in progress.</p>	Reporter Portal
2	Open	N/A	OutOfMemoryError in Submission Engine. When attempting to compile feedback file, submission engine runs out of memory if too many rejections present.	Code Release	Medium	<p>Workaround: Rejections reported in feedback file restricted to 1000 and error code 23999 returned in feedback file.</p> <p>Fix: 1.2.3 Deployment – 6/20/21</p>	<p>Workaround: Rejections reported in feedback file restricted to 1000 and error code 23999 returned in feedback file.</p> <p>Fix: 1.2.3 Deployment – 6/20/21</p>	Submission Feedback File
3	Open	N/A	If a user uploads 2 files with the same file name in rapid succession, the first submission can get stuck. The second one will successfully process.	Code Release	Low	<p>Fix: Update submissions processing so that duplicate file submissions only create one unique submission id.</p> <p>1.2.2 Deployment – 5/23/21</p>	<p>Fix: Update submissions processing so that duplicate file submissions only create one unique submission id.</p> <p>1.2.2 Deployment – 5/23/21</p>	Reporter Portal
4	NEW – Open	N/A	If a firm submits a file using a large number of duplicate fdid record ids, it can cause the submission to get hung up and not finish processing.	Code Release	Low	<p>Workaround: Review file to ensure no fdid record ids are duplicated.</p> <p>Fix: Update submission processing to ensure that files with large numbers of duplicate record ids process successfully and return errors for every duplicate record id.</p> <p>1.2.2 Deployment – 5/23/21</p>	<p>Workaround: Review file to ensure no fdid record ids are duplicated.</p> <p>Fix: Update submission processing to ensure that files with large numbers of duplicate record ids process successfully and return errors for every duplicate record id.</p> <p>1.2.2 Deployment – 5/23/21</p>	Reporter Portal

CAT CAIS LTID Open Issues List – As of 05/04/2021

Release Planned/Workaround Provided

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
5	NEW – Open	N/A	If a user presses the reset button on the manual submission screen in the CAIS Portal it will clear out the fdidRecordID.	Code Release	Low	Workaround: Do not press the reset button when attempting to manually submit via the CAIS Portal Fix: 1.2.2 Deployment – 5/23/21	Workaround: Do not press the reset button when attempting to manually submit via the CAIS Portal Fix: 1.2.2 Deployment – 5/23/21	Reporter Portal

CAT CAIS LTID Recently Closed Issues List – As of 05/04/2021

#	Status	Error Code	Issue Summary ¹⁵	Resolution	Priority	Test Environment Release Date	Production Environment Release Date	Area Affected
1	NEW - Closed	23007	If a firm attempts to clear the end date using ltidEndDate: NULL and set a new ltidEffectiveDate in the same submission, they will receive an integrity error.	Code Release	Low	Completed on 3/28/21	Completed on 4/11/21	Reporter Portal
2	NEW - Closed	21020	Invalid Submission File extension causes submission to stall. Should return integrity error.	Code Release	Low	Completed on 3/28/21	Completed on 4/11/21	Reporter Portal
3	NEW - Closed	N/A	Missing attributes in certain versions of feedback file; should be present in all versions ("receiptTimestamp" and various "Count" attributes).	Code Release	Low	Completed on 4/11/21	Completed on 4/25/21	Reporter Portal
4	NEW - Closed	N/A	Unexpected response occurs when submitted "reporterCRD" value exceeds numeric limit; should return invalid CRD error.	Code Release	Low	Completed on 4/11/21	Completed on 4/25/21	Reporter Portal
5	NEW - Closed	N/A	If a firm submits using an invalid FDID type, the submission will not process successfully.	Code Release	Low	Completed on 4/25/21	Completed on 4/25/21	Reporter Portal
6	NEW - Closed	21006	Error occurs when sequence of read, delete, insert functions happen out of order during parallel file processing.	Code Release	Low	Completed on 4/11/21	Completed on 4/25/21	Reporter Portal

CAT CAIS Planned Enhancements – Open

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	NEW - Open	N/A	CAT CAIS will allow SFTP users to delete any files within the feedback directory. This is agnostic of origin for the posted file - SFTP or UI - and may allow firms to delete UI posted files that a user hasn't downloaded the feedback for. This is consistent with the functionality of the Transaction system.	Code Release	Low	1.2.2 – 5/23/21	1.2.2 – 5/23/21	Reporter Portal / SFTP

CAT CAIS Planned Enhancements – Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	NEW – Closed	22025 22026 22027 23002 23003	The noted error codes were deprecated in the LTID Technical Specification published on 3/23, as part of the LTID date validation relaxation. The relaxed validation functionality was not released to the Test Environment until 3/28, and will not be released to the Production Environment until 4/11. During the time period between the publication of the updated Technical Specification and release of the functionality, firms will still receive these errors against their submissions.	Code Release	Low	Completed on 3/28/2021	Completed on 4/11/2021	Reporter Portal / SFTP

CAT CAIS- Planned LTID Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	N/A			

CAT CAIS-

Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	Open	Clarify FDID rules and character handling after conversion from Alphanumeric to Text data type	May 7 2021	2.0r2
2	Open	Clarify that both Submitters and CAT Reporter Firms will have access to the Feedback File when the Submitter is submitting on behalf of another firm	May 7 2021	2.0r2
3	Open	Revise the statement in Section 6.1.1 - Feedback Generation - to reflect the current feedback file versioning approach	May 7 2021	2.0r2
4	Open	Update description for the <i>bankDepositoryID</i> and <i>primeBrokerID</i> attributes to note they are only required when the <i>accountType</i> attribute contains a value of DVP/RVP	May 7 2021	2.0r2
5	Open	Change the <i>bankDepositoryID</i> , <i>primeBrokerID</i> , and <i>clearingBrokerID</i> to be Array type attributes rather than Alphanumeric, allowing a firm to report multiple values for a single FDID record	May 7 2021	2.0r2
6	Open	Incorporate the changes to validations that compare FDID dates to the LTID dates of associated LTIDs from the LTID Phase specification update	May 7 2021	2.0r2
7	Open	Add <i>correspondentCRD</i> attribute to the Main JSON Object Level, allowing firms to denote reporting of customer and account data of a correspondent introducing broker firm	May 7 2021	2.0r2
8	Open	Change approach to submissions, to allow reporting of a single customer record in a single submission record with differing data	May 7 2021	2.0r2
9	Open	Remove Material and Minor Inconsistency against First Name and Last Name of Natural Person CAT Customers	May 7 2021	2.0r2

CAT CAIS-

Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
10	Open	Move the <i>customerType</i> attribute off the FDID Record and on to the CAT Customer (Natural Person or Legal Entity) Record level.	May 7 2021	2.0r2
11	Open	Remove the <i>customerType</i> value of OTHER, and add the new value of NOTAPPLICABLE, for use when a firm evaluates all other Customer Type values and determines none of the named values are applicable to the reported CAT Customer.	May 7 2021	2.0r2

General Announcements & Reminders

FINRA CAT Reminders

- CAT CAIS LTID Checkpoint Calls to be held monthly on Wednesdays at 4:15 E.T. – the next call is scheduled for June 9th
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com

FINRA CAT Helpdesk

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