

CAT CAIS Industry Member Reporting Scenarios

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<p>This section illustrates CAT reporting requirements for customer addresses. As explained in FAQ Q44, in instances where an Industry Member maintains separate addresses at the account and customer level, then all such reasonably available addresses must be reported to CAIS. As there may be instances where an Industry Member does not maintain separate addresses at the customer level, it is acceptable to include a customer record in a submission file without any address records. The customer submission must contain all current address records maintained at the customer level, up to four. If there are more than four addresses stored for a single customer, the Industry Member may chose which four to report but apply such methodology consistently for any updates to the customer record. If a previously stored address record(s) is not included in a subsequent submission of the customer, the address record(s) that is not received will no longer be stored as an address for that customer.</p>	
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Executive Summary

This document is a companion document to the [CAT Reporting Customer and Account Technical Specifications for Industry Members \("Technical Specifications"\)](#) and is provided to assist Industry Members in implementing the reporting requirements laid out in the Technical Specifications. This document illustrates the specific reporting requirements for customer and account information (as defined in the CAT NMS Plan). The scenarios illustrate the reporting requirements for Phase 2e, the Full Customer and Account Phase. Refer to the LTID Phase [Industry Member Reporting Scenarios Documents](#) for LTID Phase reporting requirements.

The reporting scenarios are presented in a separate document from the Technical Specifications to provide the greatest flexibility in the ability to modify or add scenarios as new questions are presented and data practices evolve. It is expected that changes and additions will be necessary for reporting scenarios with greater frequency than changes to the Technical Specifications that would be required when record format, field value changes, etc., occur. By maintaining a separate reporting scenarios document, reporting scenarios may be clarified or added without the need for a new version of the Technical Specifications.

This document contains interpretive guidance for Industry Member CAT Reporters with respect to how the Technical Specifications must be implemented. As such, any changes to this document are subject to the same review and approval process by the Operating Committee, pursuant to the CAT NMS Plan, as the Technical Specifications.

An archived version of the revision/change log detailing changes to previous versions of this document is available at www.catnmsplan.com.

Version	Date	Author	Description
2.0	6/29/2021	Consolidated Audit Trail, LLC	Initial Publication for Full Customer and Account Phase
2.1	9/21/2021	Consolidated Audit Trail, LLC	Addition of scenarios for FDID Record Data. Addition of scenarios for FDID Addresses. Addition of scenarios for FDID Customer List and Roles. Addition of scenarios for transferring and receiving FDIDs. Addition of scenario for reporting a Correspondent Firm's FDIDs. Addition of scenarios for Large Trader IDs. Addition of scenarios for Natural Person Customers, including sole proprietorships. Addition of scenarios for Legal Entity Customers, including identifiers. Addition of scenarios for Customer Addresses. Addition of scenarios for replacing a Customer's Transformed Identifier ("TIDs").

Version	Date	Author	Description
			<p><u>Removal of "Trading Desk" reference from Scenario 4.1.1.</u></p> <p><u>Removal of 'BROKERAGE' <i>accountType</i> from Scenario 4.1.2.</u></p> <p><u>Modifications to Scenario 4.1.3 to add <i>branchOfficeCRD</i> and remove the <i>largeTraderList</i>.</u></p> <p><u>Modifications to Scenario 4.2.2 to include the Reporter firm as an authorized trader, and noted the employee is dually registered as an RIA.</u></p> <p><u>Modifications to Scenario 4.2.4 to change the authorized trader's role from 'AUTHREP' to 'AUTH3RD'.</u></p> <p><u>Masked <i>firmDesignatedID</i> values used in each scenario.</u></p> <p><u>Addition of 'RELATIONSHIP' <i>accountType</i> in Relationship ID scenarios.</u></p> <p><u>Addition of 'BROKERAGE' <i>accountType</i> for FDIDs held at brokerage firms.</u></p> <p><u>Removal of <i>customerStartDate</i>, <i>customerEndDate</i>, and <i>customerEndReason</i> from scenarios.</u></p>

1. Introduction

This document is organized by reporting scenarios. For each scenario, a description of the scenario along with a diagram is provided and then is followed by specific JSON examples, illustrating the correct values to be populated for each field. All examples are illustrative and do not identify all applicable fields.

All names, addresses, and identifiers data used for examples in the customer and account information reports are purely fictional for illustrative purposes only. Any resemblance to actual persons, organizations, or locations is purely coincidental.

All Transformed Identifiers (“TIDs”) included in the examples for Social Security Numbers, Individual Taxpayer Identification Numbers, or Employer Identification Numbers (collectively, SSN/ITIN and EIN), are generated from values that are outside of the acceptable range of assignment by the assigning body, and would fail CAT data validations if actually reported to the Customer & Account Information System (“CAIS”).

2. FDID Data Examples

This section illustrates sample scenarios for reporting account data, including required data for associated customers, in the CAIS JSON format. Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the CAT Reporting Customer and Account Technical Specifications for Industry Members for additional information.

4.1.2.1. FDID Record Data

2.1.1. Reporting of FDID Open Date and FDID Type

2.1.1.1. Account FDIDs

This scenario illustrates the CAT reporting requirements for account dates and types. For FDIDs with an *fdidType* of 'ACCOUNT', the *fdidDate* represents the date on which the account was opened, or the Account Effective Date as defined in Section 1.1 of the CAT NMS Plan. The *accountType* describes the type(s) of account the FDID represents. In this example, the CAT Reporter firm submits an account which was opened on July 1, 2020. The CAT Reporter firm also reports one CAT customer, who is the account holder.

<u>File</u>	<u>Data</u>
<u>Data</u>	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A2042", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE", "MARGIN"], "accountName": "CustAcct1", "branchOfficeCRD": 99999, "fdidDate": 20200701, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 FIFTH AVE", "addrLine2": "SUITE 1000", "city": "BROOKLYN", "regionCode": "US-NY", "countryCode": "US", "postalCode": "11201" }], "fdidCustomerList": [{ "customerRecordID": 1,</pre>

File	Data
	<pre> "role": "TRDHOLDER", "roleStartDate": 20200701 }] }, "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Melanie", "lastName": "Smith", "yearOfBirth": 1975, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "c68a96c6f6f640bb9b51bf406695d5668b1fe675f1c63cdc9d5257fb92e9b509" }] } </pre>

2.1.1.2. Relationship FDIDs

This scenario illustrates the CAT reporting requirements for FDID dates and types when the FDID represents a Relationship ID. The *fdidType* will be 'RELATIONSHIP', and the *accountType* array must include 'RELATIONSHIP' (but may also include other applicable values). The *fdidDate* will be the date on which the relationship was established. In this example, the CAT Reporter firm submits a Relationship ID FDID which was established on August 1, 2020. The CAT Reporter firm also reports one CAT customer, who is the organization with which the relationship was established.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "REL9301", "fdidType": "RELATIONSHIP", "accountType": ["RELATIONSHIP"], "accountName": "REL ACCT", "branchOfficeCRD": 12345, "fdidDate": 20100801 "addressList": [{ </pre>

File	Data
	<pre> "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20100801 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "ABC Company", "ein": "00-2839174", "customerType": ["NOTAPPLICABLE"], "lei": "H7483KRW1900BCTR7289" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "e1109c873ffcc2edd7404819a6b8981638197aef5638c60bd0cfdb66b2585097" }] } </pre>

2.1.1.3. Entity ID FDIDs

This scenario illustrates the CAT reporting requirements for FDID dates and types when the FDID represents an Entity ID. The *fdidType* will be 'ENTITYID', and the *accountType* array must include 'ENTITYID' (but may also include other applicable values). In this example, the CAT Reporter firm has an employee that is a registered representative that has discretion over several client accounts held at their firm. The registered representative places an order that he will later allocate to individual client accounts. At the time the order is placed, there is no specific trading account that can be used for the FDID, so the firm uses an Entity ID FDID to represent the firm's discretionary relationship with the customer. Refer to FAQ M15 for additional information regarding Entity IDs. The Entity ID was established on September 1,

2020, and this date is used as the *fdidDate*. The CAT Reporter firm also reports themselves as a customer associated to the FDID.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "IA0448", "fdidType": "ENTITYID", "accountType": ["ENTITYID", "FIRM"], "accountName": "ENTITY ID IA0448", "fdidDate": 201200901 "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20200901 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "CAT Reporter Firm Co.", "ein": "00-7588409", "customerType": ["BD"], "lei": "K117G549PCX9W217RTV4" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "b576d37c9667b8de41cb8781051163cacda0a6bdb244612d0a7f0b9cd1c40ea1" }] } </pre>

2.1.2. Ending an FDID

This scenario illustrates the CAT reporting requirements when an account has previously been submitted to, and accepted by, CAT CAIS, but the account has since been closed. The CAT Reporter firm must submit the FDID with an *fdidEndDate* and *fdidEndReason* populated. If any LTIDs were included in the original submission with an association to the FDID, the CAT Reporter firm would not be required to include the LTIDs in the resubmission, as ending the FDID will result in all LTID associations to the FDID also being ended. At least one customer record must be included in the resubmission, however any customer records included in the original submission with an association to the FDID will also be ended upon resubmission, regardless of whether they were included. Unless otherwise specified, the *fdidEndDate* will be applied as the *roleEndDate* and *ltidEndDate*, if applicable – additionally, the *fdidEndReason* will be applied as the *roleEndReason* and *ltidEndReason*, if applicable.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "IA7774", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "CUSTOMER ACCOUNT1", "fdidEndDate": 20220814, "fdidEndReason": "ENDED", "fdidDate": 20080710, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "555 MARKET ST.", "city": "KANSAS CITY", "regionCode": "US-MO", "countryCode": "US", "postalCode": "64030" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20080710 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Patricia", "lastName": "Marshall", "yearOfBirth": 1959,</pre>

File	Data
	<pre> "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "342d2e5d3737559678315f654d12edea89408774d067dd43e3ec2a82f6fe8f69" }] } </pre>

2.1.3. Ending an FDID Erroneously Reported to CAIS

This scenario illustrates the CAT reporting requirements when an account has previously been submitted to, and accepted by, CAT CAIS, but the submission of the record was done in error. For this scenario, the CAT Reporter firm is able to resubmit the FDID record with an *fdidEndReason* of 'CORRECTION'. The submission must contain all required attributes for the FDID record, such as *fdidDate* and *accountType*. In this scenario, the CAT Reporter firm submits the account with an *fdidEndDate* and an *fdidEndReason* of 'CORRECTION'. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "IA1957", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "GEORGE SMITH INVESTMENTS", "branchOfficeCRD": 12345, "fdidEndDate": 20210715, "fdidEndReason": "CORRECTION", "fdidDate": 20090815, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "555 MARKET ST.", "city": "KANSAS CITY", "regionCode": "US-MO", "countryCode": "US", "postalCode": "64030" }], "fdidCustomerList": [{ </pre>

File	Data
	<pre> "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20090815 }] },], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "George", "middleName": "M", "lastName": "Smith", "yearOfBirth": 1968, "customerType": ["NOTAPPLICABLE"] }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "7417612bca2537f2ded2061e86b5fc43f1e887db889a25c8c61641279c9bbb5e" }] } </pre>

2.1.4. FDID Replaced by Another FDID Within the Same Firm

This scenario illustrates the CAT reporting requirements when an account has previously been submitted to, and accepted by, CAT CAIS, and the account remains open at the Industry Member. However, due to a system migration or one of the limited circumstances outlined in FAQ M16, the Industry Member is required to change the *firmDesignatedID* value representing the account to a different FDID within the firm's system. In this example, nothing about the account is changing except the FDID value itself – as such, the original FDID Open Date and Role Start Date(s) from the replaced FDID should be used.

Original Submission

In the original submission, the CAT Reporter firm reports a firm-owned account which was opened on May 29, 2016. The firm reports themselves as the CAT customer associated to the account.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, </pre>

File	Data
	<pre> "firmDesignatedID": "IA7484", "fdidType": "ACCOUNT", "accountType": ["FIRM"], "accountName": "Firm Acct1", "branchOfficeCRD": 12345, "fdidDate": 20160529, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20160529 }]], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "CAT Reporting Firm LLC", "ein": "00-7481002", "customerType": ["BD"], "lei": "9W27C848HVB74QZ104K7" }]] </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "fb14cd74537abf7c12ecb9c8fb73ceca416c6247fa31c6a205f9b5b57c768549" }] } </pre>

Replacing Submission

In accordance with the CAT CAIS Technical Specification document, any LTID-to-FDID and customer-to-FDID associations for the FDID that had not been ended prior to ending the FDID, will be ended at the time the FDID is ended. As such, it is not required to include the LTID-to-FDID associations in the

submission with an explicit ending of the association unless the reporting firm determines the End Date of the association is not the same as the End Date of the FDID. The CAT Reporter firm can omit the *roleEndDate* and *roleEndReason* for the replaced FDID's customer associations, and CAIS will cascade its *fdidEndDate* and *fdidEndReason* values to all active customer associations. The associations will not be moved to the replacing FDID record, and as such the firm must explicitly establish the LTID-to-FDID and customer-to-FDID associations to the replacing FDID. In the replacing submission, the CAT Reporter firm submits the account with an *fdidEndDate* and an *fdidEndReason* of 'REPLACED', in addition to the *replacedByFDID*. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "IA7484", "fdidType": "ACCOUNT", "accountType": ["FIRM"], "accountName": "Firm Acct1", "branchOfficeCRD": 12345, "fdidEndDate": 20210710, "fdidEndReason": "REPLACED", "replacedByFDID": "IA0005", "fdidDate": 20160529, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20160529 }] }, { "fdidRecordID": 2, "firmDesignatedID": "IA0005", "fdidType": "ACCOUNT", "accountType": ["FIRM"], "accountName": " Firm Acct1", "branchOfficeCRD": 12345, "fdidDate": 20210710, "addressList": [{ </pre>

File	Data
	<pre> "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "99999999", "ltidEffectiveDate": 20210710 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20210710 }] }, "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "CAT Reporting Firm LLC", "ein": "00-7481002", "customerType": ["BD"], "lei": "9W27C848HVB74QZ104K7" }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "fb14cd74537abf7c12ecb9c8fb73ceca416c6247fa31c6a205f9b5b57c768549" }] } </pre>

2.1.5. Reopening a Previously Ended FDID

This scenario illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and subsequently ended for a reason other than 'REPLACED' in a later submission. The firm can accomplish this by excluding the *fdidEndDate* and *fdidEndReason* attributes within the resubmission, which will nullify these fields and reopen the FDID. The firm will also need to

establish any necessary LTID-to-FDID and customer-to-FDID associations in the reactivating submission. In this example, the CAT Reporter firm submits an account with the same data as previously submitted, but this time omits the *fdidEndDate* and *fdidEndReason* attributes. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A3019", "fdidType": "ACCOUNT", "accountType": ["INSTITUTION"], "accountName": "TRDNG ACCT IA3019", "branchOfficeCRD": 12345, "fdidDate": 20210706 "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "88888888-9999", "ltidEffectiveDate": 20210706 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20210706 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Brokerage Firm LLC", "ein": "00-9102664", "customerType": ["BD"], "lei": "0R940KDF28W1Q774X9W" }] }</pre>
TIDs	{

File	Data
	<pre> "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "12450da283530a402df4e624992ca69f3f9d3921660256d17388f23e18a7cc0f" }] </pre>

2.2. FDID Address

This section illustrates the CAT reporting requirements for addresses associated to accounts. Each FDID submission must contain at least one mailing address for the FDID, and may contain up to four total address records. If a previously stored address record is excluded in a subsequent submission of the FDID, the address record(s) that is not received will no longer be stored as an address of the FDID.

2.2.1. FDID with a Single Address

This scenario illustrates the CAT reporting requirements when a single address is associated to an account. The mailing address must be included in the FDID *addressList* with an *addrType* of 'ADDRESS1', as noted in FAQ Q44. In this example, the CAT Reporter firm submits an account address with three address lines. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre> {and "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A2115", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "IA2115 ACCT", "branchOfficeCRD": 99999, "fdidDate": 20070512, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 ELM STREET", "addrLine2": "BUILDING 5", "addrLine3": "STE 10", "city": "RICHMOND", "regionCode": "US-NC", "countryCode": "US", "postalCode": "28379" }] }] </pre>

File	Data
	<pre>] , "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20070512 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "William", "lastName": "Jones", "yearOfBirth": 1962, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "bf9cdf3fca1091bd7f916a8c84d2e765e0a57912c2e71672f98411c5bbf89e20" }] } </pre>

2.2.2. FDID with Multiple Addresses

This scenario illustrates the CAT reporting requirements when there are multiple addresses associated to an account. Up to four addresses may be included in the FDID *addressList*, each with a differing *addrType*. The mailing address must be included in the FDID *addressList* with an *addrType* of 'ADDRESS1', as noted in FAQ Q44. When multiple address records are included, they must use the *addrType* values corresponding to the counts of address records – for example, if two addresses are included, they must be 'ADDRESS1' and 'ADDRESS2'. In this example, the CAT Reporter firm submits an account with three associated address records. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A0492", </pre>

File	Data
	<pre> "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "IA0492 ACCT", "branchOfficeCRD": 99999, "fdidDate": 20070512, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 ELM STREET", "addrLine2": "BUILDING 5", "addrLine3": "STE 10", "city": "RICHMOND", "regionCode": "US-NC", "countryCode": "US", "postalCode": "28379" }, { "addrType": "ADDRESS2", "addrLine1": "5 SOUTH 15TH ST.", "city": "RICHMOND", "regionCode": "US-NC", "countryCode": "US", "postalCode": "28378" }, { "addrType": "ADDRESS3", "addrLine1": "25 GARDEN WAY", "city": "SACRAMENTO", "regionCode": "US-CA", "countryCode": "US", "postalCode": "94203" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20070512 }] }, "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Mary", "lastName": "Williams", "yearOfBirth": 1998, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [</pre>

File	Data
	<pre> { "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "735d981a98d179188535e0d6cc859d948efbf01bf7eca0f652768d809bb37360" }] } </pre>

2.3. FDID Customer List and Roles

This section illustrates CAT reporting requirements for FDID Customer Records within the *fdidCustomerList*. For each FDID, the *fdidCustomerList* object is used to describe the type of association that exists between the FDID and its customer(s).

2.3.1. FDID with a Single CAT Customer

This scenario illustrates CAT reporting requirements for an account associated to one CAT customer, who is the account holder. In this example, the CAT Reporter firm submits an FDID with one account holder who has authorization to trade on the account.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A2449", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Jason's Account", "branchOfficeCRD": 99999, "fdidDate": 20190812, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 ELM STREET", "addrLine2": "BUILDING 5", "addrLine3": "STE 10", "city": "RICHMOND", "regionCode": "US-NC", "countryCode": "US", "postalCode": "28379" }], }], "fdidCustomerList": [</pre>

File	Data
	<pre> { "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20190812 }] },], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Jason", "lastName": "Myers", "yearOfBirth": 1990, "customerType": ["NOTAPPLICABLE"] }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "a783be7f766ff571c7a2181d86ff949054b92a6ca0d7b9b4b8c43226f4beb368" }] } </pre>

2.3.2. FDID with Multiple CAT Customers

This scenario illustrates CAT reporting requirements for an account associated to multiple CAT customers who are holders of the account. In this example, the CAT Reporter firm submits an FDID with one account holder who has trading authorization, and another holder who does not have trading authorization.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A3106", "fdidType": "ACCOUNT", "accountType": ["UGMA/UTMA", "BROKERAGE"], "accountName": "Bernard's UGMA Account", "branchOfficeCRD": 99999, "fdidDate": 20151101, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "555 PALM PLACE", </pre>

File	Data
	<pre> "city": "RICHMOND", "regionCode": "US-NC", "countryCode": "US", "postalCode": "28379" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20151101 }, { "customerRecordID": 2, "role": "NTHOLDER", "roleStartDate": 20151101 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Bernard", "lastName": "James", "yearOfBirth": 1960, "customerType": ["NOTAPPLICABLE"] }, { "customerRecordID": 2, "firstName": "Bernard", "lastName": "James", "nameSuffix": "JUNIOR", "yearOfBirth": 2000, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "4932e10355dea95f31fbd77989b09aa641c49d3df28e7074ae5335e94f61d43f" }, { "customerRecordID": 2, "tidType": "SSN/ITIN", "tidValue": "7db347e0258d221252ca1f9e5e5913865f2c14f47b15ddefd0870edab89937e7" }] } </pre>

2.4. Transferring an FDID Due to a Corporate Event

This section illustrates CAT reporting requirements in the instance of account transfers from one CAT Reporter firm to another, resulting from corporate events such as mergers, acquisitions, or divestitures. This activity can occur via either automated transfer of accounts by the Plan Processor, or via reporting data to CAIS. The transferring firm must report the ending of the accounts to be transferred, while the receiving firm must report the CAT Reporter CRD of the transferring firm and the FDID by which the account was known at the transferring firm.

2.4.1. Transferring Firm Submission

This scenario illustrates CAT reporting requirements for the transferring CAT Reporter firm in the instance of all accounts of an acquired firm being transferred to the acquiring firm. In order to enact transfers of accounts, the transferring CAT Reporter must end the FDID by setting the *fdidEndReason* as 'TRANSFER'. The *fdidEndDate* represents the date on which the transfer occurred. Any LTID and customer associations to the FDID will be ended with the *fdidEndDate* as the *ltidEndDate* and *roleEndDate* respectively, and the *fdidEndReason* as *ltidEndReason* and *roleEndReason*. In this scenario, the transferring CAT Reporter firm submits three accounts with *fdidEndDates* and *fdidEndReasons* of 'TRANSFER'. The accounts must also be reported to CAIS by the CAT Reporter firm to whom the accounts are being transferred, as represented in **Reporting Scenario 2.4.2**.

<u>File</u>	<u>Data</u>
<u>Data</u>	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "TransferredAcct1", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Transferred FDID No. 1", "fdidEndDate": 20210718, "fdidEndReason": "TRANSFER", "fdidDate": 20110220, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "50 N MAPLE", "city": "KANSAS CITY", "regionCode": "US-MO", "countryCode": "US", "postalCode": "64031" }] }], }</pre>

File	Data
	<pre> "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20110220 }, { "fdidRecordID": 2, "firmDesignatedID": "TransferredAcct2", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Transferred FDID No. 2", "fdidEndDate": 20210718, "fdidEndReason": "TRANSFER", "fdidDate": 20040728, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "123 GROVE STREET", "city": "DES MOINES", "regionCode": "US-IA", "countryCode": "US", "postalCode": "50301" }], }, "fdidCustomerList": [{ "customerRecordID": 2, "role": "TRDHOLDER", "roleStartDate": 20040728 }], }, { "fdidRecordID": 3, "firmDesignatedID": "TransferredAcct3", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Transferred Acct No. 3", "fdidEndDate": 20210718, "fdidEndReason": "TRANSFER", "fdidDate": 19990823, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 WILLIAMS ST.", "city": "AMES", "regionCode": "US-IA", "countryCode": "US", "postalCode": "50014" }], "fdidCustomerList": [{ </pre>

File	Data
	<pre> "customerRecordID": 3, "role": "TRDHOLDER", "roleStartDate": 19990823 }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "MARLENE", "lastName": "JAMES", "yearOfBirth": 1978, "customerType": ["NOTAPPLICABLE"] }], "legalEntityCustomerList": [{ "customerRecordID": 2, "legalName": "Securities Management Company", "ein": "00-9381116", "customerType": ["BD"], "lei": "L1W70VQDTR52K7361HM2" }, { "customerRecordID": 3, "legalName": "Brokerage Firm LLC", "ein": "00-1744025", "customerType": ["BD"] }] }] }]] } </pre>
TIDS	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "22ed0a9add2445b711c6a4d1c2fd1962d4c3ec9a77e9473b7789e2c5394cecac" }, { "customerRecordID": 2, "tidType": "EIN", "tidValue": "fcf73b27ad39f7f4c443819ed240a921905baba8c0b7880244d287a832d9db5b" }, { "customerRecordID": 3, "tidType": "EIN", "tidValue": "ffa8a6ca8d04188ae7c0368cc52b908a2e12b1c95d5708b3699c6a83b7e24011" }] } </pre>

File	Data
] }

2.4.2. Receiving Firm Submission

This scenario illustrates the CAT reporting requirements for the receiving CAT Reporter firm in the instance of all accounts of an acquired firm being transferred to the acquiring firm. In order to report accounts received from the transferring firm, the receiving CAT Reporter must submit all transferred-in FDIDs with full data, including reestablishing applicable LTID and customer associations. The receiving firm must also report the transferring firm's CRD number as the *priorCATReporterCRD* ("5555" in this example), in addition to the FDID by which the account was known at the transferring firm as the *priorCATReporterFDID*. In this example, the CAT Reporter firm submits three accounts it received from the Transferring Firm in **Reporting Scenario 2.4.1**.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "ReceivedAcct1", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Received FDID No. 1" "fdidDate": 20210718, "priorCATReporterCRD": 5555, "priorCATReporterFDID": "TransferredAcct1", "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "50 N MAPLE", "city": "KANSAS CITY", "regionCode": "US-MO", "countryCode": "US", "postalCode": "64031" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "777777777", "ltidEffectiveDate": 20210718 }, { "largeTraderRecordID": 2, "largeTraderID": "ULT00001", "ltidEffectiveDate": 20210718 }] }], }</pre>

File	Data
	<pre> "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20210718 }, { "fdidRecordID": 2, "firmDesignatedID": "ReceivedAcct2", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Received FDID No. 2", "priorCATReporterCRD": 5555, "priorCATReporterFDID": "TransferredAcct2", "fdidDate": 20210718, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "123 GROVE STREET", "city": "DES MOINES", "regionCode": "US-IA", "countryCode": "US", "postalCode": "50301" }], "fdidCustomerList": [{ "customerRecordID": 2, "role": "TRDHOLDER", "roleStartDate": 20210718 }] }, { "fdidRecordID": 3, "firmDesignatedID": "ReceivedAcct3", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Received Acct No. 3", "priorCATReporterCRD": 5555, "priorCATReporterFDID": "TransferredAcct3", "fdidDate": 20210718, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 WILLIAMS ST.", "city": "AMES", "regionCode": "US-IA", "countryCode": "US", "postalCode": "50014" }], "fdidCustomerList": [{ </pre>

File	Data
] }

2.5. Reporting Custodied Accounts

2.5.1. Clearing Firm Reporting Accounts Custodied for a Correspondent

This scenario illustrates the CAT reporting requirements for accounts custodied by a clearing firm CAT Reporter for a correspondent. The clearing firm must populate the *correspondentCRD* attribute with the CRD number of the correspondent firm. The *correspondentCRD* attribute is at the main level within the JSON structure of the CAIS Data File, and as such will apply to all records within the file. The *correspondentCRD* attribute must not be included in the Identifiers File. If the clearing firm custodies accounts for multiple correspondent firms, accounts for each individual correspondent must be grouped into a separate file. Accounts of a clearing firm that are not correspondent accounts should not have the *correspondentCRD* attribute populated. In this example, the CAT Reporter submits two accounts – one custodied for a correspondent firm with a CRD of ‘1111’, and one custodied for a different correspondent firm with a CRD of ‘9999’. The CAT Reporter firm also reports one account holder for each account.

Reporter’s Submission for Correspondent 1111

File	Data
Data	<pre>{ "version": "2.0.0", "catReporterCRD": 123456, "catSubmitterID": 123456, "correspondentCRD": 1111, "fdidRecordCount": 1, "naturalPersonCustomerRecordCount": 0, "legalEntityCustomerRecordCount": 1, "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A0012", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "CustAcct1", "fdidDate": 20200701, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 FIFTH AVE", "addrLine2": "SUITE 1000", "city": "BROOKLYN", "regionCode": "US-NY", "countryCode": "US", "postalCode": "11201" }] }] }</pre>

File	Data
	<pre> }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20200701 }] }, "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Broker Dealer LP", "ein": "00-6318395", "customerType": ["BD"], "lei": "3182VF640PQQVC538TRM" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "803207d07b157664fbeb894cf97b4b55d2d1d80d04c927a6e5a85699f288f3e" }] } </pre>

Reporter's Submission for Correspondent 9999

File	Data
Data	<pre> { "version": "2.0.0", "catReporterCRD": 123456, "catSubmitterID": 123456, "correspondentCRD": 9999, "fdidRecordCount": 1, "naturalPersonCustomerRecordCount": 0, "legalEntityCustomerRecordCount": 1, "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "IA0013", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "CustAcct2", "fdidDate": 20190821, "addressList": [</pre>

File	Data
	<pre> { "addrType": "ADDRESS1", "addrLine1": "5 MARKET PL", "city": "DOVER", "regionCode": "US-DE", "countryCode": "US", "postalCode": "19901" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20190821 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Introducing Broker Inc.", "ein": "00-1827314", "customerType": ["BD"], "lei": "W84CXZ63130LBPW783" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "79f5bbfd2722ee984f4e57555cae03545deaf207c7acab6933001662f01ea0dc" }] } </pre>

2.5.2. Clearing Firm & Introducing Broker Reporting Custodied Account

This scenario illustrates the CAT reporting requirements when an account is in the custody of a clearing firm (“Clearing Firm”) but originates orders through an introducing broker (“Introducing Broker”). In this example, each firm reports the account with the FDID assigned by their respective firm. The Clearing Firm reports the Introducing Broker’s CRD in the *correspondentCRD* field, and reports the Introducing Broker as the associated CAT customer. The Introducing Broker does not provide a *correspondentCRD*, and reports one CAT customer associated to the FDID.

Clearing Firm Submission

File	Data
Data	<pre> { "version": "2.0.0", "catReporterCRD": 123456, "catSubmitterID": 123456, "correspondentCRD": 55555, "fdidRecordCount": 1, "naturalPersonCustomerRecordCount": 0, "legalEntityCustomerRecordCount": 1, "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A6650", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "CustodiedAcct1", "fdidDate": 20130428, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "50 NORTH 100TH PLACE", "city": "SACRAMENTO", "regionCode": "US-CA", "countryCode": "US", "postalCode": "94204" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20130428 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Introducing Broker", "ein": "00-0192932", "customerType": ["BD"], "lei": "F829DX2100BVR7PW73J1" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "c88ed78ec03023fe49c16cd047e708820fb0ef918f5655ab376384667fa3db80" }] } </pre>

File	Data
	}

Introducing Broker Submission

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "ACCT734923", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "CustomerAccount123", "fdidDate": 20130915, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "50 NORTH 100TH PLACE", "city": "SACRAMENTO", "regionCode": "US-CA", "countryCode": "US", "postalCode": "94204" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20130915 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Originating Customer", "ein": "00-3838211", "customerType": ["NOTAPPLICABLE"] }] }</pre>
TIDs	<pre>{ "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "7b1599709a6bb3cce97df911d58abf8303aca660e309dc12639c15921ab0e6dd" }] }</pre>

2.6. Large Trader IDs (LTID)

2.6.1. FDID with one LTID

This scenario illustrates the CAT reporting requirements when an account is identified as being associated to a Large Trader. The CAT Reporter firm is required to report the account to CAT CAIS, as well as the associated LTID and customer data. The CAT Reporter firm also reports one CAT customer, who is the account holder.

<u>File</u>	<u>Data</u>
<u>Data</u>	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A8573", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "LargeTradingAccount", "branchOfficeCRD": 12345, "fdidDate": 20110928, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "5 TENTH AVE", "city": "DALLAS", "regionCode": "US-TX", "countryCode": "US", "postalCode": "28379" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "55555555", "ltidEffectiveDate": 20110928 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20110928 }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "LARGE TRADING FIRM INC.", </pre>

File	Data
	<pre> "ein": "00-2387493", "customerType": ["ACCREDITED"], "lei": "09G6RW788BH5XPLR2188" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "fa42acd55af5624cfb2a3d8041a2064bf19158e67fc2dac4ee763605614e9809" }] } </pre>

2.6.2. FDID with one Unidentified Large Trader ID (ULTID)

This scenario illustrates the CAT reporting requirements when an FDID is identified as being required to report to CAT CAIS, where the FDID has an associated authorized trader identified as an Unidentified Large Trader ID. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A1948", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "ULTAcct1", "branchOfficeCRD": 12345, "fdidDate": 20151021, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 N MAPLE", "city": "NEW YORK", "regionCode": "US-NY", "countryCode": "US", "postalCode": "10011" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "ULT55555-0000", "ltidEffectiveDate": 20151021 }] } } </pre>

File	Data
	<pre>], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20151021 }] }, "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "ABC SECURITIES MANAGEMENT CO LLC", "ein": "00-2387493", "customerType": ["BD"], "lei": "09G6RW788BH5XPLR2188" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "10985f81879893df579b89bbcb8b6caa86977a33283cf7c48214d14349350e16" }] } </pre>

2.6.3. FDID with Multiple LTIDs

This scenario illustrates the CAT reporting requirements when an account is identified as having two Large Traders as authorized traders. The CAT Reporter firm is required to report the account to CAT CAIS, as well as the associated LTIDs. The CAT Reporter firm also reports two CAT customers – one who is the account holder, and one who is a Registered Investment Adviser (RIA) with authorization to trade on the account.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A1042", "fdidType": "ACCOUNT", "accountType": ["AVERAGE"], "accountName": "LargeTradingAccount2", "fdidDate": 20170605, </pre>

File	Data
	<pre> "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1000 PARKWAY DR", "city": "BALTIMORE", "regionCode": "US-MD", "countryCode": "US", "postalCode": "21201" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "44444444", "ltidEffectiveDate": 20170605 }, { "largeTraderRecordID": 2, "largeTraderID": "33333333", "ltidEffectiveDate": 20200910 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20170605 }, { "customerRecordID": 2, "role": "AUTH3RD", "hasDiscretion": true, "roleStartDate": 20170605 }]], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Large Trader Firm Inc.", "ein": "00-8734291", "customerType": ["ACCRDITED"], "lei": "R820KF73RWVX9104G22H" }, { "customerRecordID": 2, "legalName": "Registered Investment Mgmt Inc", "ein": "00-1821033", "customerType": ["RIC"], "lei": "22TR80KM4DWTZZ847WOP" }]] </pre>

File	Data
TIDs	<pre>{ "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "1584f467024cdd8c85bf9e122f889ef3f59bca766035a8e9b5956aa67a996a10" }, { "customerRecordID": 2, "tidType": "EIN", "tidValue": "b81f7a005b28df09e91179e5ea763156a436e9d0e815c6f76387d8c27c8ed0d6" }] }</pre>

2.6.4. FDID with both LTID and ULTID

This scenario illustrates the CAT reporting requirements when an account is associated to two Large Traders, with one being an Unidentified Large Trader. The CAT Reporter firm is required to report the account to CAT CAIS, as well as the associated LTIDs. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A0176", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "LargeTradingAccount3", "branchOfficeCRD": 12345, "fdidDate": 20130514, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "999 1ST PKWY", "city": "BALTIMORE", "regionCode": "US-MD", "countryCode": "US", "postalCode": "21202" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "ULTID555", "ltidEffectiveDate": 20130514 }] }] }</pre>

File	Data
	<pre> }, { "largeTraderRecordID": 2, "largeTraderID": "22222222", "ltidEffectiveDate": 20150824 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20130514 }, { "customerRecordID": 2, "role": "AUTH3RD", "hasDiscretion": true, "roleStartDate": 20150824 }]], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "ULT Corp.", "ein": "00-2398122", "customerType": ["ACCREDITED"], "lei": "79145G2WKPLR78BX205R" }, { "customerRecordID": 2, "legalName": "Registered Investment Mgmt Inc", "ein": "00-1821033", "customerType": ["RIC"], "lei": "22TR80KM4DWTZZ847WOP" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "1aeefe40168d64ea816336de1a1d2eb8cd32df53de534d3fcd0ed52e290bb278" }, { "customerRecordID": 2, "tidType": "EIN", "tidValue": " b81f7a005b28df09e911179e5ea763156a436e9d0e815c6f76387d8c27c8ed0d6" }] } </pre>

File	Data
	}

2.6.5. Ending an LTID Association to an FDID

This scenario illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and one of the LTIDs associated to the FDID is determined to no longer be an authorized trader for the account. If more than one LTID is associated to the FDID, all LTIDs must be included in the submission. Any existing associations not included in the submission will be implicitly ended. Furthermore, if the LTID is associated to any other FDIDs, those associations to other FDIDs will not be ended through this submission. In this example, the CAT Reporter firm submits an FDID associated to a Large Trader record with an *ltidEndDate* and *ltidEndReason* of 'ENDED'. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A4627", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "John's Trading Account", "branchOfficeCRD": 12345, "fdidDate": 20190924, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "15 N FIRST ST", "city": "TAMPA", "regionCode": "US-FL", "countryCode": "US", "postalCode": "33601" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "11111111-0000", "ltidEffectiveDate": 20190924, "ltidEndDate": 20210721, "ltidEndReason": "ENDED" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20190924 }] }] }</pre>

File	Data
	<pre> }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "John", "lastName": "Miller", "yearOfBirth": 1962, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7532" }] } </pre>

2.6.6. Reestablishing an LTID Association to an FDID

This scenario illustrates the CAT reporting requirements when an account has an ended association to an LTID, but the association must be reactivated as the Large Trader regains authority to trade on the account. If more than one LTID is associated to the FDID, all LTIDs must be included in the submission. In order to reestablish the LTID association, the CAT Reporter must resubmit the account and LTID association without an *ltidEndDate* or *ltidEndReason*. In this example, the CAT Reporter firm submits an account associated to a Large Trader record and omits the *ltidEndDate* and *ltidEndReason* attributes. The CAT Reporter firm also reports one CAT customer, who is the account holder.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A0593", "fdidType": "ACCOUNT", "accountType": ["ADVISED"], "accountName": "John's Advised Account", "branchOfficeCRD": 12345, "fdidDate": 20190924, "addressList": [{ </pre>

File	Data
	<pre> "addrType": "ADDRESS1", "addrLine1": "15 N FIRST ST", "city": "TAMPA", "regionCode": "US-FL", "countryCode": "US", "postalCode": "33601" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "11223344", "ltidEffectiveDate": 20190924 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20190924 }, { "customerRecordID": 2, "role": "AUTH3RD", "hasDiscretion": true, "roleStartDate": 20190924 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "John", "lastName": "Miller", "yearOfBirth": 1962, "customerType": ["NOTAPPLICABLE"] }], "legalEntityCustomerList": [{ "customerRecordID": 2, "legalName": "Big Investment Adviser Inc.", "ein": "00-3487888", "customerType": ["ADVISER"], }] }] </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": </pre>

File	Data
	<pre>"e3dfeeab8484e64e741188e7e8f9746988882737310ae3e7f49fda75eddb7532" }, { "customerRecordID": 2, "tidType": "EIN", "tidValue": "3ce543bba7e30b7c39edadf3a19e1c4ea708ab962c46423fd35af9d051fcd65e" }] }</pre>

3. Customer Data Scenarios

This section illustrates samples scenarios for reporting customer data in the CAIS JSON format. At least one customer must be associated to each FDID within a submission file, and customers cannot be reported to CAIS without being associated with at least one FDID record. Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the CAT Reporting Customer and Account Technical Specifications for Industry Members for additional information.

3.1. Natural Person Customer

3.1.1. Name and Year of Birth

This scenario illustrates the CAT reporting requirements for Natural Person CAT customers. Required attributes, such as *firstName* and *yearOfBirth* must be included for each Natural Person customer record in the CAIS Data File. All previously reported names of the customer will be retained in association to the currently submitted state of the record, even when the name value is not included in a subsequent submission of the customer. In this example, the CAT Reporter is submitting an FDID with an association to one Natural Person customer who became associated with the FDID when the account was opened.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A7758", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "CustAcct999", "branchOfficeCRD": 12345, "fdidDate": 20090312, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "150 SW ORANGE ST", "city": "BROOKLYN", "regionCode": "US-NY", "countryCode": "US", "postalCode": "11201" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20090312 }] }] }</pre>

File	Data
	<pre> }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "John", "lastName": "Doe", "yearOfBirth": 1982, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "56c4dlee2fa66991602dc80580116d195ca362d7a0b5647fea17f3e104c97944" }] } </pre>

3.1.2. Sole Proprietorship Using a Social Security Number

This scenario illustrates the CAT reporting requirements when a customer is a sole proprietorship. In this case, the CAT Reporter does not have an EIN with which to generate a TID, so the firm uses the SSN of the sole proprietor. The CAT Reporter firm must supply required fields for a Natural Person customer, such as *firstName* and *yearOfBirth*. If the CAT Reporter firm is also aware of a business name under which the sole proprietorship operates, the firm must populate such name in the *doingBusinessAs* attribute, which indicates the name under which the sole proprietorship operates. In this example, the firm is reporting an FDID with one account holder which is a sole proprietorship where the firm has the SSN of the owner and there is separate name under which the sole proprietorship operates.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A3013", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Sole Prop Acct1", "branchOfficeCRD": 12345, "fdidDate": 20150129, "addressList": [{ "addrType": "ADDRESS1", </pre>

File	Data
	<pre> "addrLine1": "10 MOCKINGBIRD LN", "city": "SALEM", "regionCode": "US-OR", "countryCode": "US", "postalCode": "97301" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20150129 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "MARIE", "lastName": "JONES", "doingBusinessAs": "MARIE'S BAKED GOODS", "yearOfBirth": 1982, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "fe005258ee2114bcef531e2ff09d1fa3aea5a33dd2b32ee045d028d323386b1f" }] } </pre>

3.2. Legal Entity Customer

3.2.1. Name and Identifiers

This scenario illustrates the CAT reporting requirements for Legal Entity CAT customers. Required attributes, such as *legalName* and *customerType*, must be included for each Legal Entity customer record in the CAIS Data File. All previously reported names of the customer will be retained in association to the currently submitted state of the record, even when the name value is not included in a subsequent submission of the customer. The Employer Identification Number (EIN) of the customer must be reported as the *ein* attribute if the Input Identifier used to generate the customer's TID was an EIN. Additionally, the Legal Entity Identifier (LEI) of the customer must be reported as the *lei* attribute if known to the firm, and

must be provided if the Input Identifier used to generate the customer's TID was an LEI. In this example, the CAT Reporter is submitting to CAT CAIS an FDID with an association to one Legal Entity which was associated with the FDID when the account was opened.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "IA0867", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Austin Corp", "branchOfficeCRD": 12345, "fdidDate": 20120520, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "5 MAPLE AVE", "city": "AUSTIN", "regionCode": "US-TX", "countryCode": "US", "postalCode": "73301" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20120520 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Austin Corp", "ein": "00-9483717", "customerType": ["NOTAPPLICABLE"], }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "8f77654dbff9c5ab28f187a6d01e55288beb25db9ffc358aec8f3b030cc6d190" }] } </pre>

3.3. Customer Address

4.1.1.—This section illustrates CAT reporting requirements for customer addresses. As explained in FAQ Q44, in instances where an Industry Member maintains separate addresses at the account and customer level, then all such reasonably available addresses must be reported to CAIS. As there may be instances where an Industry Member does not maintain separate addresses at the customer level, it is acceptable to include a customer record in a submission file without any address records. The customer submission must contain all current address records maintained at the customer level, up to four. If there are more than four addresses stored for a single customer, the Industry Member may chose which four to report but apply such methodology consistently for any updates to the customer record. If a previously stored address record(s) is not included in a subsequent submission of the customer, the address record(s) that is not received will no longer be stored as an address for that customer.

3.3.1. Customer with an Address Different from FDID Address

This scenario illustrates CAT reporting requirements for a customer with one address maintained by the firm at the customer level that is different than the account level address that was reported with the FDID record. In this example, the CAT Reporter firm submits a CAT customer record with a single address record. The firm includes a different address on the FDID record than on the customer record.

<u>File</u>	<u>Data</u>
<u>Data</u>	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A3618", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "TrdAcct555", "branchOfficeCRD": 12345, "fdidDate": 20120102, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 BRIDGE ST", "city": "BROOKLYN", "regionCode": "US-NY", "countryCode": "US", "postalCode": "11201" }] }], }</pre>

File	Data
	<pre> "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20120102 }] },], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Anne", "lastName": "James", "yearOfBirth": 1982, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "555 SHERMAN RD", "addrLine2": "SUITE 5", "city": "ALBANY", "regionCode": "US-NY", "countryCode": "US", "postalCode": "12084" }] }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "40363dcbd2b778cf84e7e8c007c9930d56d42a9cdfc83b9871e5c1dbc7fecfb5" }] } </pre>

3.3.2. Customer with Multiple Addresses at the Customer Level

This scenario illustrates CAT reporting requirements for a customer having multiple addresses. When multiple address records are included, they must use the *addrType* values corresponding to the counts of addresses (for example, if two address records are included, they must be 'ADDRESS1' and 'ADDRESS2'). In this example, the CAT Reporter firm is submitting a CAT customer with four address records.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A3330", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": " TradingAcct000", "branchOfficeCRD": 99999, "fdidDate": 20061214, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "50 ELM DR", "addrLine2": "MAPLE BUSINESS PARK", "addrLine3": "SUITE 1500", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60007" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20061214 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Securities Trust LP", "ein": "00-1194272", "customerType": ["TRUST"], "lei": "F0441BKGX8D21099WZ83", "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "999 NORTH 5TH ST", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60008" }, { "addrType": "ADDRESS2", "addrLine1": "20 MAGNOLIA RD", "addrLine2": "ROOM 10", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", </pre>

File	Data
	<pre> "postalCode": "60007" }, { "addrType": "ADDRESS3", "addrLine1": "500 S 100TH AVE", "addrLine2": "BLDG 2", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60007" }, { "addrType": "ADDRESS4", "addrLine1": "PO BOX 12345", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60010" }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "af3e511c442cc7898c40299152b069fd3102e4a11b21b33ef773a5afbd4d11c2" }] } </pre>

3.4. Changes to Customer Transformed Identifiers

3.4.1. Change in Customer's Input Identifier – Same TID Type

This scenario illustrates the CAT reporting requirements in the event that the Input Identifier which a CAT Reporter firm previously used to generate a Natural Person customer's TID has been changed. In this example, the CAT Reporter firm reports the customer to CAIS for the first time using the customer's ITIN as the Input Identifier.

Original Submission

File	Data
Data	{

File	Data
	<pre> "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A0391", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "MARY'S ACCT", "branchOfficeCRD": 12345, "fdidDate": 20120129, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 PALM COURT", "city": "TAMPA", "regionCode": "US-FL", "countryCode": "US", "postalCode": "33601" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20120129 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "MARY", "lastName": "MILLER", "yearOfBirth": 1971, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "04f1772c416e037c0c0be238a5245110675bb7c92e58d95e4dfe9cc503246edd" }] } </pre>

Resubmission

After the customer was reported to CAIS, the customer gained U.S. citizenship and was assigned an SSN. The customer has notified the CAT Reporter firm of their newly assigned SSN. The CAT Reporter firm must report the customer to CAIS with the new Input Identifier, including values in the *replacedByTID* and *replacingTIDType* fields to indicate the customer's Input Identifier has changed, resulting in a new TID. In the CAIS Data File, the firm must include a record for the customer being replaced, in addition to a record for the replacing customer. The firm also specifies a *roleEndDate* and *roleEndReason* of 'REPLACED' in the *fdidCustomerList* – these attributes must be included in order to indicate the previous customer record is no longer associated to the account. In the TIDs File, the firm must include a record for the customer's previous TID – noting the *replacedByTID* and *replacingTIDType* – as well as a record for the customer's new TID.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A0391", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "MARY'S ACCT", "branchOfficeCRD": 12345, "fdidDate": 20120129, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 PALM COURT", "city": "TAMPA", "regionCode": "US-FL", "countryCode": "US", "postalCode": "33601" }], }, { "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20120129, "roleEndDate": 20220831, "roleEndReason": "REPLACED" }, { "customerRecordID": 2, "role": "TRDHOLDER", "roleStartDate": 20220831 }] }], "naturalPersonCustomerList": [{ </pre>

File	Data
	<pre> "customerRecordID": 1, "firstName": "MARY", "lastName": "MILLER", "yearOfBirth": 1971, "customerType": ["NOTAPPLICABLE"] }, { "customerRecordID": 2, "firstName": "MARY", "lastName": "MILLER", "yearOfBirth": 1971, "customerType": ["NOTAPPLICABLE"] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "04f1772c416e037c0c0be238a5245110675bb7c92e58d95e4dfe9cc503246edd", "replacedByTID": "ecacfeee4fb716eb7817e96288ccdfdf03ed7c85b1f4ba3052fe44dbd158195a", "replacingTIDType": "SSN/ITIN" }, { "customerRecordID": 2, "tidType": "SSN/ITIN", "tidValue": " ecacfeee4fb716eb7817e96288ccdfdf03ed7c85b1f4ba3052fe44dbd158195a " }] } </pre>

3.4.2. Change in Customer’s Input Identifier – Differing TID Types

This scenario illustrates the CAT reporting requirements in the event that the Input Identifier which a CAT Reporter firm previously used to generate a Legal Entity customer's TID has been changed. In this example, the customer is a Legal Entity which was previously reported with an LEI as the Input Identifier. However, the Legal Entity has expanded to the U.S. and has obtained an EIN. The CAT Reporter firm must report the customer to CAIS with the new Input Identifier, including values in the *replacedByTID* and *replacingTIDType* fields to indicate the customer's Input Identifier has changed, resulting in a new TID. In the CAIS Data File, the firm must include a record for the customer being replaced, in addition to a record for the replacing customer. In the TIDs File, the firm must include a record for the customer's previous TID – noting the *replacedByTID* and *replacingTIDType* – as well as a record for the customer's new TID.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A1839", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "FOREIGN ACCT", "branchOfficeCRD": 12345, "fdidDate": 20050712, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "PRIVADA CALLE 1", "city": "CHIHUAHUA", "regionCode": "CHIHUAHUA", "countryCode": "MX", "postalCode": "31000" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20050712, "roleEndDate": 20220831, "roleEndReason": "REPLACED" }, { "customerRecordID": 2, "role": "TRDHOLDER", "roleStartDate": 20220831 }] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "BROKERS OF MEXICO INC.", "customerType": ["NOTAPPLICABLE"], "lei": "W01MVTR7289D03LRV81Z" }, { "customerRecordID": 2, "legalName": "BROKERS OF MEXICO INC.", "ein": "00-4884819", "customerType": ["NOTAPPLICABLE"], "lei": "W01MVTR7289D03LRV81Z" }] } </pre>
TIDs	<pre> { "tidRecordList": [</pre>

File	Data
	<pre> { "customerRecordID": 1, "tidType": "FOREIGN", "foreignTIDType": "LEI", "foreignTIDCountryCd": "MX", "tidValue": "9eala76e5e52ae60e89912f66225e54c7da42e79791d5637822b69c75a210d83", "replacedByTID": "d63633e6049236992117c19701210f84b6342aa76cd3a8c98dee1bdd783c84a2", "replacedByTIDType": "EIN" }, { "customerRecordID": 2, "tidType": "EIN", "tidValue": "d63633e6049236992117c19701210f84b6342aa76cd3a8c98dee1bdd783c84a2" }] } </pre>

3.5. Multiple Versions of a Customer Within a Submission File

This scenario illustrates the CAT reporting requirements in the event that a CAT Reporter firm has multiple versions of a single customer, as reconciled to a single Input Identifier and therefore single TID. It is permitted to include the multiple versions of the customer within the submission files, with differing *customerRecordID* values. Each version of the CAT customer, however, must not contain data materially different from other versions of the customer within the same file. The data stored in CAIS will consist of the merged set of entries across the submitted versions of the customer.

3.5.1. Natural Person Customer

This scenario illustrates the CAT reporting requirements in the event that a CAT Reporter firm has multiple versions of a single Natural Person customer. In this example, the CAT Reporter firm is submitting two versions of a single Natural Person customer, associated to two different FDIDs. A total of three unique addresses will be stored in CAIS for the customer in this example. Additionally, a total of two names will be stored for this customer, each with a timestamp of receipt. All names and addresses across all FDIDs associated to this customer will be made available for Regulator query.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A4041", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], </pre>

File	Data
	<pre> "accountName": "JimsTrdngAcct", "branchOfficeCRD": 12345, "fdidDate": 20140624, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "999 South 1st Circle", "city": "Trenton", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "08616" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20140624 }] }, { "fdidRecordID": 2, "firmDesignatedID": "1A8961", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "JimsTrdngAcct2", "branchOfficeCRD": 12345, "fdidDate": 20160817, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "999 South 1st Circle", "city": "Trenton", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "08616" }], "fdidCustomerList": [{ "customerRecordID": 2, "role": "TRDHOLDER", "roleStartDate": 20160817 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "Jim", "middleName": "R.", "lastName": "Williams", </pre>

File	Data
	<pre> "yearOfBirth": 1972, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "999 South 1st Circle", "city": "Trenton", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "08616" }] }, { "customerRecordID": 2, "firstName": "James", "lastName": "Williams", "yearOfBirth": 1972, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "999 South 1st Circle", "city": "Trenton", "regionCode": "US-NY", "countryCode": "US", "postalCode": "08616" }, { "addrType": "ADDRESS2", "addrLine1": "5 North Market St", "city": "Trenton", "regionCode": "US-NY", "countryCode": "US", "postalCode": "08616" }, { "addrType": "ADDRESS3", "addrLine1": "1 Palm Pl", "addrLine2": "Suite 3", "city": "Trenton", "regionCode": "US-NY", "countryCode": "US", "postalCode": "08617" }] }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", </pre>

File	Data
	<pre> "tidValue": "360ae6aeb548ab78ffcb9032ac5213ec74d0017c229078fdca586b663d20d13e" }, { "customerRecordID": 2, "tidType": "SSN/ITIN", "tidValue": "360ae6aeb548ab78ffcb9032ac5213ec74d0017c229078fdca586b663d20d13e" }] } </pre>

3.5.2. Legal Entity Customer

This scenario illustrates the CAT reporting requirements in the event that a CAT Reporter firm has multiple versions of a single Legal Entity customer. In this example, the CAT Reporter firm is submitting three versions of a single Legal Entity customer, associated to three different FDIDs. A total of six unique addresses will be stored in CAIS for the Legal Entity Customer in this example, as differing addresses were submitted for each instance of the customer. Additionally, a total of three Legal Names will be stored for this customer, each with a timestamp of receipt. All names and addresses across all associated FDIDs associated to this customer will be made available for Regulator query.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A3310", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "First LE Account", "branchOfficeCRD": 12345, "fdidDate": 20070802, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 NORTH PALM ST.", "city": "NAPLES", "regionCode": "US-FL", "countryCode": "US", "postalCode": "34102" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20070802 }] } } </pre>

File	Data
	<pre> }] }, { "fdidRecordID": 2, "firmDesignatedID": "IA3311", "fdidType": "ACCOUNT", "accountType": ["BROKERAGE"], "accountName": "Second LE Account", "branchOfficeCRD": 12345, "fdidDate": 20140920, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "5000 SPRING WAY", "city": "PITTSBURGH", "regionCode": "US-PA", "countryCode": "US", "postalCode": "15106" }], "fdidCustomerList": [{ "customerRecordID": 2, "role": "TRDHOLDER", "roleStartDate": 20140920 }] }, { "fdidRecordID": 3, "firmDesignatedID": "IA3312", "fdidType": "ACCOUNT", "accountType": ["DVP/RVP", "BROKERAGE"], "primeBrokerID": ["BRK1"], "accountName": "Third LE Account", "branchOfficeCRD": 99999, "fdidDate": 20110106, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 PINEAPPLE PL", "city": "BALTIMORE", "regionCode": "US-MD", "countryCode": "US", "postalCode": "21213" }], "fdidCustomerList": [{ "customerRecordID": 3, "role": "TRDHOLDER", "roleStartDate": 20110106 }] } </pre>

File	Data
	<pre>] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "XYZ Securities Management L.L.C.", "ein": "00-9192311", "customerType": ["BD"], "lei": "88372RGFK892W105VM33", "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "10 NORTH PALM ST.", "city": "NAPLES", "regionCode": "US-FL", "countryCode": "US", "postalCode": "34102" }, { "addrType": "ADDRESS2", "addrLine1": "12 NORTH PALM ST.", "city": "NAPLES", "regionCode": "US-FL", "countryCode": "US", "postalCode": "15106" }] }, { "customerRecordID": 2, "legalName": "XYZ SEC MGMT LLC", "ein": "00-9192311", "customerType": ["BD"], "lei": "88372RGFK892W105VM33", "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "5000 SPRING WAY ", "city": "PITTSBURGH", "regionCode": "US-PA", "countryCode": "US", "postalCode": "15106" }] }, { "customerRecordID": 3, "legalName": "XYZ SECURITIES MGMT, LLC", "ein": "00-9192311", "customerType": ["BD"], "addressList": [{ "addrType": "ADDRESS1", </pre>

File	Data
	<pre> "addrLine1": "10 PINEAPPLE PL", "city": "BALTIMORE", "regionCode": "US-MD", "countryCode": "US", "postalCode": "21213" }, { "addrType": "ADDRESS2", "addrLine1": "600 SOUTH THIRD ST", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60606" }, { "addrType": "ADDRESS3", "addrLine1": "1 CASTLE DRIVE", "addrLine2": "SUITE 3", "city": "BALTIMORE", "regionCode": "US-MD", "countryCode": "US", "postalCode": "21213" }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": " e860f1dlca4cle7de86468752dba08f69143522bf245dd3f8377286f920c4308" }, { "customerRecordID": 2, "tidType": "EIN", "tidValue": " e860f1dlca4cle7de86468752dba08f69143522bf245dd3f8377286f920c4308" }, { "customerRecordID": 3, "tidType": "EIN", "tidValue": "e860f1dlca4cle7de86468752dba08f69143522bf245dd3f8377286f920c4308" }] } </pre>

2.4. Customer and Account Reporting Scenarios

This section illustrates [the combined customer and account data reporting requirements for common customer and account scenarios](#). Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the [CAT Reporting Customer and Account Technical Specifications for Industry Members](#) for additional information.

2.1.4.1. Firm Owned Accounts Scenarios

2.1.4.1.1. Firm Owned Account with only Employees authorized to trade

This scenario illustrates the CAT reporting requirements when a CAT Reporter Firm is reporting a firm-owned account, where the only CAT Customer on the account is the firm itself and the only parties authorized to trade in the account are employees of the CAT Reporter Firm. The CAT Reporter Firm is reported with a *role* of 'TRDHOLDER', as it is the beneficial holder of the account and is authorized to trade on the account, and the CAT Reporter Firm is not required to report their employees as Authorized Traders on the account. For purposes of this example, the CAT Reporter firm only stores the Address for the FDID record, and as such no Address is reported on the CAT Customer record. The *customerType* is set as BD, since the CAT Reporter firm is a US registered Broker/Dealer. The CAT Reporter firm also reports their Large Trader ID and Legal Entity Identifier (LEI).

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "Our Firms Acct Record1A4085", "fdidType": "ACCOUNT", "accountType": ["FIRM", "BROKERAGE"], "accountName": "PropAcct1", "branchOfficeCRD": 13245, "fdidDate": 20050821, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "largeTraderList": [{ "largeTraderRecordID": 1,</pre>

File	Data
	<pre> "largeTraderID": "12345678-000100000000", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20050821 }] }, "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "CAT Reporter Firm Name", "customerStartDate": 20050821, "ein": "11-223344500-2192955", "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "8caf6f28a2e293d5a12b107afe11fee79a1a20d72c6b297290282a2a7f9f44bb8b8ee19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612de0" }] } </pre>

2.1.2.4.1.2. Reporting Multiple Firm Owned Accounts

This scenario illustrates the CAT reporting requirements when a CAT Reporter Firm is reporting multiple accounts that are owned by the firm, where the only CAT Customer on the accounts is the firm itself and the only parties authorized to trade in the accounts are employees of the CAT Reporter Firm. The CAT Reporter Firm is not required to report their employees as Authorized Traders on the accounts. It is acceptable to report all of the accounts in association with a single *customerRecordID* value within the *naturalPersonCustomerList* or *legalEntityCustomerList* file, so that the firm does not need to duplicate the data of the CAT Customer for each account. The customer's role, roleStartDate, roleEndDate, and roleEndReason do not need to be the same across each of the associated FDIDs. In this reporting structure, the single *customerRecordID* is associated to each FDID, however the CAT Customer data is present only once within the CAIS Data file and the TIDs file. The below example has three FDIDs, each with an association to the single *customerRecordID* value.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "Our Firms Acct Record<u>1A9574</u>", "fdidType": "ACCOUNT", "accountType": ["FIRM", "BROKERAGE"], "accountName": "PropAcct1", "branchOfficeCRD": 13245, "fdidDate": 20050821, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-0001,<u>44332211-9999</u>", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20050821 }] }, { "fdidRecordID": 2, "firmDesignatedID": "SecondaryAcct<u>1A3016</u>", "fdidType": "ACCOUNT", "accountType": ["FIRM", "MARKET"], "accountName": "MrktMkr", "branchOfficeCRD": 13245, "fdidDate": 20120301, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }] }] } </pre>

File	Data
	<pre> }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-0001<u>11122233-3444</u>", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20120301 }] }, { "fdidRecordID": 3, "firmDesignatedID": "AnotherFirmAccount<u>1A4496</u>", "fdidType": "ACCOUNT", "accountType": ["FIRM", "BROKERAGE"], "accountName": "AnotherFirmAccount", "branchOfficeCRD": 981023, "fdidDate": 20191201, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }, { "addrType": "ADDRESS2", "addrLine1": "253 MAIN ST", "city": "JACKSONVILLE", "regionCode": "US-FL", "countryCode": "US", "postalCode": "32034" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-0001<u>00011122</u>", "ltidEffectiveDate": 20191201 }], "fdidCustomerList": [{ </pre>

File	Data
	<pre> "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20191201 }] }, "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "CAT Reporter Firm Name", "customerStartDate": 20050821, "ein": "11-223344500-9727341", "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" }] } </pre>
TI Ds	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": "dc7232533673aa251694afab7091cf4e7ecb885fd80cefef91df442dba855bb8b8ee19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612de0" }] } </pre>

The following example is an alternative reporting approach to the same scenario above, in which the CAT Reporter Firm repeats the CAT Customer information across multiple *customerRecordID* values. The CAT Reporter Firm must ensure the data for each instance of the CAT Customer meets the CAIS Technical Specification requirements for consistent data across each instance. In this reporting structure, the same CAT Customer is reported with multiple *customerRecordID* values, one for each association to the FDID record. The data for the CAT Customer is repeated within the CAIS Data file as well, once for each *customerRecordID*, and the same TID value is repeated within the TIDs file for each *customerRecordID*. The below example has 3 FDIDs with three different *customerRecordID* values.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "Our Firms Acct Record1A3175", "fdidType": "ACCOUNT", "accountType": ["FIRM", "BROKERAGE"], </pre>

File	Data
	<pre> "accountName": "PropAcct1", "branchOfficeCRD": 13245, "fdidDate": 20050821, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-000110101010-1111", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20050821 }] }, { "fdidRecordID": 2, "firmDesignatedID": "SecondaryAcct1A0059", "fdidType": "ACCOUNT", "accountType": ["FIRM", "MARKET"], "accountName": "MrktMkr", "branchOfficeCRD": 13245, "fdidDate": 20120301, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-000190909090-0000", "ltidEffectiveDate": 20150101 }] } </pre>

File	Data
	<pre> }], "fdidCustomerList": [{ "customerRecordID": 35, "role": "TRDHOLDER", "roleStartDate": 20120301 }] }, { "fdidRecordID": 3, "firmDesignatedID": "AnotherFirmAccount1A3102", "fdidType": "ACCOUNT", "accountType": ["FIRM", "BROKERAGE"], "accountName": "AnotherFirmAccount", "branchOfficeCRD": 9810230, "fdidDate": 20191201, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", ""addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }, { "addrType": "ADDRESS2", "addrLine1": "253 MAIN ST", "city": "JACKSONVILLE", "regionCode": "US-FL", "countryCode": "US", "postalCode": "32034" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-000155556666", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 50, "role": "TRDHOLDER", "roleStartDate": 20120301 }] }], </pre>

File	Data
	<pre> "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "CAT Reporter Firm Name", ""customerStartDate": 20050821," "ein": ""00-972734111-2233445"", "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" }, { "customerRecordID": 35, "legalName": "CAT Reporter Firm Name", ""customerStartDate": 20050821," "ein": ""00-972734111-2233445"", "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" }, { "customerRecordID": 50, "legalName": "CAT Reporter Firm Name", ""customerStartDate": 20050821," "ein": ""00-972734111-2233445"", "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" }] </pre>
TI Ds	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "EIN", "tidValue": ""dc7232533673aa251694afab7091cf4e7ecb885fd80cefef91df442dba855bb8b8ee19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612de0"" }, { "customerRecordID": 35, "tidType": "EIN", "tidValue": ""dc7232533673aa251694afab7091cf4e7ecb885fd80cefef91df442dba855bb8b8ee19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612de0"" }, { "customerRecordID": 50, "tidType": "EIN", "tidValue": ""dc7232533673aa251694afab7091cf4e7ecb885fd80cefef91df442dba855bb8b8ee19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612de0"" }] } </pre>

2.1.3.4.1.3. Firm Owned Average Price Account Used for Multiple Customers

This scenario illustrates the CAT reporting requirements when the account reported to CAIS represents a firm-owned average price account used for multiple customers, where the only CAT Customer on the account is the firm itself and the only parties authorized to trade in the account are employees of the CAT Reporter Firm. The CAT Reporter Firm is reported with a *role* of 'TRDHOLDER', as it is the beneficial holder of the account and is authorized to trade on the account, and the CAT Reporter Firm is not required to report their employees as Authorized Traders on the account.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 224, "firmDesignatedID": "AVGPRICE1A4845", "fdidType": "ACCOUNT", "accountType": ["AVERAGE", "FIRM", ""BROKERAGE"], "accountName": "AVGPRICE", ""clearingBrokerIDbranchOfficeCRD": "+1022+99999", "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "123 MAIN ST.", "city": "SAN FRANCISCO", "regionCode": "US-CA", "countryCode": "US", "postalCode": "94016" }], ""largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-0001", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 23, "role": "TRDHOLDER", "roleStartDate": 20210115 }] }], "legalEntityCustomerList": [{ "customerRecordID": 23, "legalName": "Broker Dealer ABC", ""customerStartDate": 20210115, "ein": ""11-223344500-9218388"," }] }</pre>

File	Data
	<pre> "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 23, "tidType": "EIN", "tidValue": ""ccla0c104324aeb0159fc79195977d19794d594036d893f23a6ec23e6b4fe9308b8e e19b05513b0f67fb5cdd6905f91dd45ff339de1286472b1f39e798612dc0"" }] } </pre>

2.2.4.2. Customer Accounts Reporting Scenarios

This section illustrates the CAT reporting requirements when the account reported to CAT is not owned by the CAT Reporter Firm whose data is being reported.

2.2.4.2.1. Account with Only One Holder

This scenario illustrates the CAT reporting requirements for an account on which there is a single trading customer. ~~In For~~ this example, the account is a basic retirement account established by the holder, ~~where the CAT Reporter Firm has an Address stored on the FDID for mailings to the customer, but also retains a separate Address on the CAT Customer record that is different from the address on the FDID and is reportable to CAT.~~ The CAT Customer has rights to trade in their account and is reported with a *role* of 'TRDHOLDER'.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 2000, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["RETIREMENT", "BROKERAGE"], "accountName": "Joseph's Retirement Account", "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "415 MAIN BOULEVARD", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60176" }] }] } </pre>

File	Data
	<pre> }], "fdidCustomerList": [{ "customerRecordID": 40, "role": "TRDHOLDER", "roleStartDate": 20210115 }] }, "naturalPersonCustomerList": [{ "customerRecordID": 40, "firstName": "JOSEPH", "middleName": "WALTER", "lastName": "SMYTHE", "nameSuffix": "SENIOR", "yearOfBirth": 1981, "customerStartDate": 20210115, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "23 MAIN AVE", "city": "PALATINE", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60038" }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 40, "tidType": "SSN/ITIN", "tidValue": "7d428d1e6f7ddf14973c2c0df79ccc87912322c68ca500f29b27cf5bee487ed501a54-629efb952287e554eb23ef69e52097a75aecc0e3a93ea0855ab6d7a31a0" }] } </pre>

2.2.2.4.2.2. Account Holder and Authorized Trader

This scenario illustrates the CAT reporting requirements when the account reported to CAIS has both a holder and an authorized trader on the account, where the authorized trader is an employee of the firm and has discretion to trade on the account on behalf of the account holder. Additionally, the employee is

dually registered as a Registered Investment Adviser. Both the beneficial holder and the Authorized Trader are reported in association to the FDID record. ~~For this example, the CAT Reporter Firm does not capture Addresses on the CAT Customer record, and therefore does not have Addresses to report to CAT for the CAT Customer.~~

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 5000, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["ADVISED", "RETIREMENT", "BROKERAGE"], "accountName": "Advised Retirement Acct", "registeredRepCRD": ["910283"], "branchOfficeCRD": 981023, "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "415 MAIN BOULEVARD", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60176" }], "fdidCustomerList": [{ "customerRecordID": 72, "role": "TRDHOLDER", "roleStartDate": 20210115 }, { "customerRecordID": 415, "role": "AUTHREP", "hasDiscretion": true, "roleStartDate": 20210115 }], "naturalPersonCustomerList": [{ "customerRecordID": 72, "firstName": "JOSEPH", "middleName": "WALTER", </pre>

File	Data
	<pre> "lastName": "SMYTHE", "nameSuffix": "THIRD", "yearOfBirth": 1975, "customerStartDate": 20210115, "customerType": ["NOTAPPLICABLE"] }, { "customerRecordID": 415, "firstName": "ALEXIS", "lastName": "DOE", "yearOfBirth": 1992, "customerStartDate": 20050821, "customerType": ["ADVISER", "EMPLOYEE"] }], "legalEntityCustomerList": [{ "customerRecordID": 589 "legalName": "CAT Reporter Firm Inc.", "ein": "00-7478488", "customerType": ["BD"], "lei": "037RCP01MV6749XWQ3Z6" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 72, "tidType": "SSN/ITIN", "tidValue": "47471430482258447580bb291a2ba29c79483f09000f25fcccfdc3bead7f46e0" }, { "customerRecordID": 415, "tidType": "SSN/ITIN", "tidValue": "06ecc97f329281e67b8c321bbe6f8630b346ee8e80356a34196352abd49ef67c1438887c12c566c8f87325380e06517bfb2c46c4dc7e07fc6f004ea5bb21945d" }], { "customerRecordID": 589, "tidType": "EIN", "tidValue": "c30ef117db387710cdd88ebca6887a7d2356ee40e0df29e04cc3ba6ae2facf92" }] } </pre>

2.2.3.4.2.3. Relationship ID Based FDID

This scenario illustrates the CAT reporting requirements when the FDID reported to CAIS is based on a relationship and the CAT Reporter Firm does not have a list of traders authorized to place orders ~~in the account~~. In this scenario, the CAT Reporter Firm may not have a name ~~for the account name~~ for the relationship, and the firm opts to use the *firmDesignatedID* value as the *accountName*. The CAT Reporter Firm only knows the fund manager as their CAT Customer, and therefore has no additional ~~beneficial account holders~~ or Authorized Traders for reporting to CAT.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 224, "firmDesignatedID": "Big Fund Manager1A4949", "fdidType": "RELATIONSHIP", "accountType": ["INSTITUTIONRELATIONSHIP"], "accountName": "IA4949Big Fund Manager", "branchOfficeCRD": "900221", "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "123 MAIN ST.", "addrLine2": "Suite 102, Big Fund Manager", "city": "SAN FRANCISCO", "regionCode": "US-CA", "countryCode": "US", "postalCode": "94016" }], "largeTraderList": [{ "largeTraderRecordID": 1, "largeTraderID": "12345678-000112312312", "ltidEffectiveDate": 20150101 }], "fdidCustomerList": [{ "customerRecordID": 55, "role": "TRDHOLDER", "roleStartDate": 20210115 }] }], "legalEntityCustomerList": [{ "customerRecordID": 55, "legalName": "Big Fund Manager",</pre>

File	Data
	<pre> "customerStartDate": 20210115, "ein": "11-223344500-8838114", "customerType": ["ADVISER"], "lei": "L49S8SWR48C4MFGH8ZH1" }] } </pre>
TI Ds	<pre> { "tidRecordList": [{ "customerRecordID": 55, "tidType": "EIN", "tidValue": "ef8e60f1ccdc6cb54f218ef62043dc3b2f1e0b89b2c62343d3119f9b6538b6ce8b8ee19 b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612de0" }] } </pre>

2.2.4.4.2.4. DVP/RVP Account with a Clearing Number

This scenario illustrates the CAT reporting requirements when the account reported to CAIS is a DVP/RVP account, where the custodian of the account has is a prime broker ID (e.g., the prime broker), necessitating the *primeBrokerID* attribute. For this example, there is one prime broker for the account, and the account is held in the name of the prime broker. The institutional client that the account is for the benefit of is reported as an Authorized Trader. The CAT Reporter firm DVPs the shares to the prime broker.

File	Data
Da ta	<pre> { "fdidRecordList": [{ "fdidRecordID": 123, "firmDesignatedID": "DELIVERY VS PAYMENT ACCT1A1938", "fdidType": "ACCOUNT", "accountType": ["DVP/RVP", "BROKERAGE"], "accountName": "DVP RVP ACCOUNT", "branchOfficeCRD": 123456, "primeBrokerID": ["9542"], "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", </pre>

File	Data
	<pre> "postalCode": "07097" }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20210115 }, { "customerRecordID": 55, "role": "AUTHREP3RD", "hasDiscretion": true, "roleStartDate": 20210115 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "ROGER", "lastName": "CUSTOMER", "yearOfBirth": 1945, "customerStartDate": 20200413, "customerType": ["NOTAPPLICABLE"] }], "legalEntityCustomerList": [{ "customerRecordID": 1, "legalName": "Prime Broker", "ein": "00-8803921", "customerType": ["BD"], "lei": "WQ930027TVN471GRQ09" }, { "customerRecordID": 55, "legalName": "Investment Advisor AlphaInstitutional Customer", "customerStartDate": 20210115, "ein": "00-1762321", "customerType": ["BDINSTITUTION"], "lei": "L49S8SWR48C4MFGH8ZH1" }] } </pre>
TI Ds	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITINEIN", </pre>

File	Data
	<pre> "tidValue": "e08c15f826ee2a9baacf4d390d495e77a21babd1ab964cc6f8271e9925267c6101a54629efb952287e554eb23ef69e52097a75aeccc0e3a93ea0855ab6d7a31a0" }, { "customerRecordID": 55, "tidType": "EIN", "tidValue": "d2afa960e7fb1bdd523a225f994bb8c1f9b31f4ac17f6271cdf9b3b016e7a6b68b8ee19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0" }] } </pre>

2.2.5.4.2.5. DVP/RVP Account with Bank Depository ID

This scenario illustrates the CAT reporting requirements when the account reported to CAIS is a DVP/RVP account, where the custodian of the account has is a bank ~~depository ID (e.g. bank), and not a prime broker ID~~, necessitating the *bankDepositoryID* attribute. For this example, there is only a single depository value included within the array. If multiple values exist for the account, each of them must be included within the array in a comma-delimited list. This account is held in the name of the institutional client that is the only authorized trader on the account. The CAT Reporter firm DVPs the shares to a banking institution.

File	Data
Data	<pre> { "fdidRecordList": [{ "fdidRecordID": 123, "firmDesignatedID": "DELIVERY VS PAYMENT ACCT1A0491", "fdidType": "ACCOUNT", "accountType": ["DVP/RVP", "<u>BROKERAGE</u>"], "accountName": "BankDVPCustody", "branchOfficeCRD": 654321, "bankDepositoryID": [3209], "clearingBrokerID": [1022], "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" }], "fdidCustomerList": [</pre>

File	Data
	<pre> { "customerRecordID": ±55, "role": "TRDHOLDER", "roleStartDate": 20210115 }, { "customerRecordID": 55, "role": "AUTHREP", "hasDiscretion": true, "roleStartDate": 20210115 }] }, "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "SVEN", "lastName": "ANONYMOUS", "yearOfBirth": 1962, "customerStartDate": 20200413, "customerType": ["NOTAPPLICABLE"] }], "legalEntityCustomerList": [{ "customerRecordID": 55, "legalName": "Investment Adviser AlphaBig Hedge Fund", "customerStartDate": 20210115, "ein": "00-3187272", "customerType": ["OTHBKRNOTAPPLICABLE"], "lei": "L49S8SWR48C4MFGH8ZH1" }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "8b8cc19b05513b0f67fb5cedd6905f91dd45ff339dc1286472b1f39c798612dc0" }, { "customerRecordID": 55, "tidType": "EIN", "tidValue": "fbbf9e01933589e830d93613149976c587a6ceddbd10a28614cb1f4b83e1b84e" }] } </pre>

2.2.6.4.2.6. UGMA/UTMA Custodied Account

This scenario illustrates the CAT reporting requirements for a UGMA/UTMA custodyied account with multiple two holders – one holder who is the custodian and has authorization to trade, and another holder who is a minor and does not have authorization to trade. holders, where the minor is not allowed to trade in the account. In this scenario, the CAT Reporter Firm reporting the data has a single address on the account for account statements and confirmations, while they also know individual addresses for the two holders on the account. For this example, both holders on the account have a common address that is different from the address on the account captured on each of the CAT Customer records, which is reported in association to each of the CAT Customers.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 2000, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["UGMA/UTMA", "BROKERAGE"], "accountName": "Custodied Account", "fdidDate": 20210115, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "415 MAIN BOULEVARD", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60176" }], "fdidCustomerList": [{ "customerRecordID": 40, "role": "TRDHOLDER", "roleStartDate": 20210115 }, { "customerRecordID": 10, "role": "NTHOLDER", "roleStartDate": 20210115 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 40, "firstName": "JOSEPH", "middleName": "WALTER",</pre>

File	Data
	<pre> "lastName": "SMYTHE", "nameSuffix": "SENIOR", "yearOfBirth": 1981, "customerStartDate": 20210115, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "23 MAIN AVE", "city": "PALATINE", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60038" }] }, { "customerRecordID": 10, "firstName": "JOSEPH", "middleName": "WALTER", "lastName": "SMYTHE", "nameSuffix": "JUNIOR", "yearOfBirth": 2011, "customerStartDate": 20210115, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "23 MAIN AVE", "city": "PALATINE", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60038" }] }] } </pre>
TI Ds	<pre> { "tidRecordList": [{ "customerRecordID": 40, "tidType": "SSN/ITIN", "tidValue": "a82f70c87b9c3371825ed68ee61c35cf856a9cce50a71676be3533963e5f871901a54629efb952287e554eb23cf69e52097a75aacc0e3a93ca0855ab6d7a31a0" }, { "customerRecordID": 10, "tidType": "SSN/ITIN", "tidValue": "18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c441438887e12c566e8f87325380e06517bfb2e46e4de7e07fc6f004ea5bb21945d" }] } </pre>

File	Data
	}] }

When a minor associated to an UGMA/UTMA account reaches the age of majority, the CAT Reporter firm's policy is to close the account and transfer the assets to a new account. In this example, the minor has reached the age of majority and contacted the CAT Reporter firm. The CAT Reporter firm ends the previous FDID, which results in the ending of all customer and LTID associations. The firm opens a new FDID on which there is only one CAT customer.

File	Data
Data	<pre>{ "fdidRecordList": [{ "fdidRecordID": 1, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["UGMA/UTMA", "BROKERAGE"], "accountName": "Custodied Account", "fdidDate": 20210115, "fdidEndDate": 20220815, "fdidEndReason": "REPLACED", "replacedByFDID": "IA94913", "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "415 MAIN BOULEVARD", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60176" }] }, { "fdidRecordID": 2, "firmDesignatedID": "IA94913", "fdidType": "ACCOUNT", "accountType": ["UGMA/UTMA", "BROKERAGE"], "accountName": "Custodied Account", "fdidDate": 20220815, "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "415 MAIN BOULEVARD", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60176" }] }] }</pre>

File	Data
	<pre> }], "fdidCustomerList": [{ "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20220815 }] }], "naturalPersonCustomerList": [{ "customerRecordID": 1, "firstName": "JOSEPH", "middleName": "WALTER", "lastName": "SMYTHE", "nameSuffix": "JUNIOR", "yearOfBirth": 2011, "customerType": ["NOTAPPLICABLE"], "addressList": [{ "addrType": "ADDRESS1", "addrLine1": "23 MAIN AVE", "city": "PALATINE", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60038" }] }] }] } </pre>
TIDs	<pre> { "tidRecordList": [{ "customerRecordID": 10, "tidType": "SSN/ITIN", "tidValue": "18d55bf55668ecd5922288be01548d3f0bd9fa338db1dc43165ac3d560c43c44" }] } </pre>