Industry CAT CAIS LTID Test Release Status

November 3rd, 2021

Agenda

- Industry Test Release Update
- Open Issues List
- Recently Closed Issues
- Planned Enhancements
- General Announcements & Reminders
- Q&A

Industry CAT CAIS LTID Test Release Update

Industry Member Release Rollout

04/26/2021
CAIS LTID Mandatory Reporting*

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

* Large Industry Member Phase 2d reporting required on 12/13/2021

* Small Industry Members Phase 2a, 2b, 2c, and 2d reporting required on 12/13/2021

01/31/2022
Industry Test Release Full CAIS

- Full CAIS Reporter Portal Industry Test Open - Manual Submission and File Upload
- Industry Test Open for Machine-to-Machine File & Data Integrity Validations & Feedback
- Industry Test Open for Inconsistency Feedback & Repair
- Prod Mirror remains open for LTID Phase testing

02/2022
Full CAIS Certification Opens

- Full CAIS Self-Reporter Certification
- Full CAIS Submitter Certification*
- Full CAIS Certification for an Industry Member only using Submitter(s)

04/25/2022
Full CAIS Production Opens

- **LTID Phase Reporting remains available**
- Full CAIS Reporter Portal Production Open - Manual Submission and File Upload
- Production Open for Machine-to-Machine File & Data Integrity Validations & Feedback
- Production Open for Inconsistency Feedback & Repair
- Full CAIS Reporter Statistics available

7/11/2022
Full CAIS Mandatory Reporting

- **LTID Phase Reporting no longer accepted**
- Full CAIS reporting required for all Phases
- Full CAIS Rejection Repair timeline enforced
- Full CAIS Inconsistency Repair timeline enforced

*Reporting Relationships established for LTID Phase reporting **do not need** to be re-established for Full CAIS Phase reporting.

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CAIS LTID Phase Statistics – October 25th – October 31st, 2021

Production Environment							
	Monday, 10/25	**Tuesday, 10/26**	**Wednesday, 10/27**	**Thursday, 10/28**	**Friday, 10/29**	**Saturday, 10/30**	**Sunday, 10/31**
Number of Total Submitters	51	60	61	62	59	18	4
Number of Unique Firms	401	431	542	471	493	53	5
Number of Files Received	Total: 702 Reporter Portal: 3 SFTP: 699	Total: 759 Reporter Portal: 9 SFTP: 750	Total: 991 Reporter Portal: 51 SFTP: 940	Total: 816 Reporter Portal: 7 SFTP: 809	Total: 822 Reporter Portal: 3 SFTP: 819	Total: 70 Reporter Portal: 13 SFTP: 57	Total: 14 Reporter Portal: 11 SFTP: 3
Number of Files Rejected	0	4	25	0	2	2	0
File Reject Rate	0.00%	0.52%	2.52%	0.00%	0.24%	2.86%	0.00%

CAIS LTID Phase Statistics – October 25th – October 31st, 2021

Production Environment							
	Monday, 10/25	**Tuesday, 10/26**	**Wednesday, 10/27**	**Thursday, 10/28**	**Friday, 10/29**	**Saturday, 10/30**	**Sunday, 10/31**
Records Accepted	284,371	924,396	720,510	781,180	656,396	752,716	10,848
Records Rejected	4	26	63	22	48	22	2
Records Submitted	284,375	924,422	720,552	781,202	656,444	752,738	10,850
Record Rejection Rate	0.00%	0.00%	0.01%	0.00%	0.01%	0.00%	0.02%

CAT CAIS LTID Open Issues List – As of 11/2/2021
Release Planned/Workaround Provided

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Open	N/A	Using Private Line or Private Link, logout from MDP does not automatically logout user on CAIS - (SRG works fine).	Code Release	Low	**Workaround:** User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity. Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet. **Fix:** Release planning in progress.	**Workaround:** User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity. Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet. **Fix:** Release planning in progress.	Reporter Portal
2	Open	23999	OutOfMemoryError in Submission Engine. When attempting to compile feedback file, submission engine runs out of memory if too many rejections present.	Code Release	Medium	**Workaround:** Error Rejections reported in CAIS feedback files are restricted to 1000 entries. Error code 23999 is returned in the feedback file if greater than 1000 errors are reported. Industry Members should address rejections 1000 at a time or submit files with fewer than 1000 records to ensure that the feedback file contains all error codes. **Fix:** March 2022	**Workaround:** Error Rejections reported in CAIS feedback files are restricted to 1000 entries. Error code 23999 is returned in the feedback file if greater than 1000 errors are reported. Industry Members should address rejections 1000 at a time or submit files with fewer than 1000 records to ensure that the feedback file contains all error codes. **Fix:** April 2022	Submission Feedback File

CAT CAIS LTID Recently Closed Issues List – As of 11/2/2021

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Release Date	Production Environment Release Date	Area Affected
1								

CAT CAIS Planned Enhancements – Open

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	Open	N/A	Update Rejection screen for Submitters to only show rejections for FDIDs that they submitted	Code Release	Low	January 2022	April 2022	Reporter Portal

CAT CAIS Planned Enhancements – Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Release Date	Production Environment Release Date	Area

CAT CAIS–
Planned LTID Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	Open	Clarify that malformed LTID can be corrected by sending the same FDID with corrected LTID entry - does NOT require *correctionAction* message	TBD	V1.2.3

CAT CAIS–
Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	Open	Clarify that the registeredRepCRD field may optionally be populated with the CRD number(s) of the Registered Representative(s) responsible for the Account (as identified as such per SEC Rule 17a-3) that can provide trading advice for the account.	December 2021	2.0r6
2	Open	Provide guidance that if there is no primeBrokerID or bankDepositoryID Number associated with the FDID record because the allocation involves a foreign entity, or the shares will settle via a foreign settlement mechanism, then the value of 'FOR' should be used in the primeBrokerID or bankDepositoryID field.	December 2021	2.0r6
3	Open	Clarify that the customerType value of 'EMPLOYEE' also may include customers employed by affiliated group companies, if employee attribute is maintained by the CAT Reporter at the group level.	December 2021	2.0r6

General Announcements & Reminders

CAT CAIS LTID Reporting Certification

➢ Any continued Production Readiness Certifications for LTID are to be completed in the Prod Mirror environment.

➢ Registration for CAIS LTID requires Reporters to indicate their approximate number of FDIDs that have associated LTIDs.

➢ For Reporting Agents, this should be the aggregate total of all FDIDs with associated LTIDs.

➢ Only Reporters and Reporting Agents that pass certification will be able to submit data into the Production environment.

FINRA CAT Announcements and Reminders

➢ CAT CAIS LTID Checkpoint Calls to be held monthly on Wednesdays at 4:15 E.T. – the next call is scheduled for December 1

➢ Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com

FINRA CAT Helpdesk

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

How to Ask a Question during Today's Call

- **For participants using computer audio:**
  - Click the "Raise Hand" button at the bottom of the participants window.
  - A visual prompt will indicate that your line has been unmuted.

- **For participants using phone audio:**
  - Enter *9 on your phone keypad.
  - An audio prompt will indicate that your line has been unmuted.