

# Consolidated Audit Trail

## Customer and Account Information System (CAIS)

### CAIS Technical Specification Updates – R6

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12/14/2021

# Major Updates\*

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- Addition of '**DRIVERLICENSE**' as *foreignTIDType* value for Foreign Natural Person customers
  - Added to **bottom** of hierarchy for Foreign identifiers (i.e., should only be used if no other Foreign Identifiers are available for the customer)
- Update to validations for **EINs** used as Input Identifiers
  - Only format validations will occur (12-3456789)
- Addition of '**AE**', '**AA**', and '**AP**' to Appendix E as valid *regionCode* values for reporting U.S. military and diplomatic addresses
- Updated '**EMPLOYEE**' and '**ADVISER**' *customerType* values
  - EMPLOYEE value may include employees of affiliated group companies
  - ADVISER value to be reported if maintained in IM's general customer and account records

\* Updates noted in this deck are pending Operating Committee approval on 12.14.21

# Minor Updates

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- Clarified requirements on '**FOR**' value for *primeBrokerID* or *bankDepositoryID* for allocations which involve foreign entities/settlement mechanisms
- Clarified existing input identifier guidance and updated validations for EINs used as input identifiers in Section 2.2.5
- Clarified material inconsistency guidance and updated Table 3: Customer Data Inconsistencies
- Addition of hash examples to Section 5.1 (i.e., for a given input string, here is the expected SHA-256 hashed value)
- Corrections to *firmDesignatedID*, *accountName*, and *registeredRepCRD* attribute definitions for consistency throughout document
- Clarified optionality of *registeredRepCRD*
- Modification to Executive Summary to note that all example names, addresses, and IDs are fictional and for illustrative purposes only
- Modifications to Appendix B error codes
- Modifications to JSON example schemas

# FINRA CAT Helpdesk

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Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or [help@finracat.com](mailto:help@finracat.com)

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Q&A

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# How to Ask a Question during Today's Call

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- **For participants using computer audio:**
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  - Enter \*9 on your phone keypad.
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