Industry CAT CAIS Release Status

April 21st, 2022

Agenda

- LTID Release Update
  - Open Issues
  - Recently Closed Issues
- Full CAIS Release Update
  - Open Issues
  - Recently Closed Issues
- Planned Enhancements
- Specification Updates
- Certification Reminders
- General Announcements & Reminders
- Q&A

Industry CAT CAIS LTID Release Update

CAIS LTID Phase Statistics – April 11th – April 17th, 2022

Production Environment							
	Monday, 4/11	**Tuesday, 4/12**	**Wednesday, 4/13**	**Thursday, 4/14**	**Friday, 4/15**	**Saturday, 4/16**	**Sunday, 4/17**
Number of Total Submitters	49	59	65	59	36	10	10
Number of Unique Firms	309	443	524	515	300	80	4
Number of Files Received	Total: 337 Reporter Portal: 3 SFTP: 334	Total: 877 Reporter Portal: 97 SFTP: 780	Total: 957 Reporter Portal: 56 SFTP: 901	Total: 912 Reporter Portal: 24 SFTP: 888	Total: 619 Reporter Portal: 1 SFTP: 618	Total: 81 Reporter Portal: 0 SFTP: 81	Total: 23 Reporter Portal: 19 SFTP: 4
Number of Files Rejected	1	2	2	2	2	23	0
File Reject Rate	0.30%	0.23%	0.21%	0.22%	0.32%	28.40%	0.00%

CAIS LTID Phase Statistics – April 11th – April 17th, 2022

Production Environment							
	Monday, 4/11	Tuesday, 4/12	Wednesday, 4/13	Thursday, 4/14	Friday, 4/15	Saturday, 4/16	Sunday, 4/17
Records Accepted	452,895	896,164	767,839	718,855	706,627	535,790	1,197
Records Rejected	19	137	50	63,934	72	10	0
Records Submitted	452,914	896,301	767,889	782,789	706,699	535,800	1,197
Record Rejection Rate	0.00%	0.02%	0.01%	8.17%	0.01%	0.00%	0.00%

CAT CAIS LTID Open Issues List – As of 4/18/2022
Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	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:** 3/27/2022	**Fix:** 4/24/2022	Submission Feedback

CAT CAIS LTID Recently Closed Issues List – As of 4/18/2022

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

Industry CAT Full CAIS Release Update

Industry Member Release Rollout – Pre-Production

Full CAIS Release 1
Industry Test – 1/31/2022
Production – 4/25/2022

Ingestion
- Industry Test Open for Machine-to-Machine File & Data Integrity Validations, Material Inconsistencies, and Feedback
- Feedback file contains up to 1,000 Rejections

CAIS Reporter Portal
- Manual File Upload
- Manual Submission
- Submission Feedback
- Inconsistencies Feedback
- Nightly Inconsistencies Report

Full CAIS Certification
opened on 2/1/2022

Full CAIS Release 2a
Industry Test – 3/28/2022
Production – 4/25/2022

Ingestion
- New DRIVERLICENSE Foreign TID Type
- EIN Validation changed to format validation
- Feedback file enhanced to include all Rejections feedback

CAIS Reporter Portal
- FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)

Full CAIS Release 2b
Industry Test – 4/11/2022
Production – 4/25/2022

Ingestion
- Remove OTHBKR and CP customerType values for Legal Entity Customer Records
- Remove BROKERAGE and ADVISED values for accountType
- Remove primeBrokerID and bankDepositoryID fields and add a new DVPCustodianID field

Industry Member Release Rollout – Production

Full CAIS Release 3a

Industry Test – 5/25/2022

Production – 6/13/2022

Ingestion
- New Authorized Trader Names List on FDID record
- Increase *lastName* field length to 200 characters

Reports
- FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase

CAIS Reporter Portal
- FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase

Full CAIS Release 3b

Industry Test – 6/13/2022

Production – 6/27/2022

Ingestion
- New OTHGOVT Foreign TID Type

Full CAIS Release 4

Industry Test – 8/29/2022

Production – 9/12/2022

Ingestion
- New INACTIVE FDID End Reason

- Automated Transfer Procedure

Full CAIS Phase Statistics – April 11th – April 17th, 2022

Industry Test Environment							
	Monday, 4/11	Tuesday, 4/12	Wednesday, 4/13	Thursday, 4/14	Friday, 4/15	Saturday, 4/16	Sunday, 4/17
Number of Total Submitters	9	13	15	17	6	3	3
Number of Unique Firms	169	203	171	159	170	176	155
Number of Files Received	361	1,099	591	559	1,331	2,457	835
Number of Files Rejected	196	306	217	214	582	1,091	457
File Reject Rate	54.29%	27.84%	36.71%	38.28%	43.73%	44.40%	54.73%

Full CAIS Phase Statistics –
April 11th – April 17th, 2022

Industry Test Environment							
	Monday, 4/11	Tuesday, 4/12	Wednesday, 4/13	Thursday, 4/14	Friday, 4/15	Saturday, 4/16	Sunday, 4/17
FDID Records Accepted	5,010	31,130	18,623	14,123	75,212	177,871	44,349
FDID Records Rejected	11,174	30,070	16,606	45,819	100,355	316,211	72,875
FDID Records Submitted	16,184	61,200	35,229	59,942	175,567	494,082	117,224
FDID Record Rejection Rate	69.04%	49.13%	47.14%	76.44%	57.16%	64.00%	62.17%

Full CAIS Phase Statistics – April 11th – April 17th, 2022

Industry Test Environment							
	Monday, 4/11	**Tuesday, 4/12**	**Wednesday, 4/13**	**Thursday, 4/14**	**Friday, 4/15**	**Saturday, 4/16**	**Sunday, 4/17**
Customer Records Accepted	5,673	25,686	12,355	11,100	92,330	225,591	54,456
Customer Records Rejected	12,213	60,889	29,464	29,309	201,396	665,328	149,903
Customer Records Submitted	17,886	86,575	41,819	40,409	293,726	890,919	204,359
Customer Record Rejection Rate	62.28%	70.33%	70.46%	72.53%	68.57%	74.68%	73.35%

CAT Full CAIS Open Issues List – As of 4/18/2022
Release Planned/Workaround Provided – Additional Releases

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	UPDATED – Open	N/A	Users are not able to include a correctionList entry in a Manual Form Submission. This impacts error codes 22001 and 22900.	Code Release	Low	**Fix:** 5/25/2022	**Fix:** 6/13/2022	Manual Form Submission
2	UPDATED – Open	N/A	Submission Report shows more results than the selected records per page when the user changes to a new View Data As perspective.	Code Release	Low	**Fix:** 5/25/2022	**Fix:** 6/13/2022	Reporter Portal
3	Open	N/A	Count of FDIDs or CAT Customers processed do not match the count of FDIDs or CAT Customers in the submission file when multiple records are rejected for a malformed or duplicated FDID, or malformed TID. The multiple rejection instances are counted as a single processed record and rejection, resulting in a lower count of processed records than were in the submission file.	Code Release	Medium	**Fix:** 5/25/2022	**Fix:** 6/13/2022	Data Validation
4	UPDATED – Open	N/A	Intermittent instances of CAIS Data files remaining in a FILE_INTEGRITY_PASSED status for an extended time and not completing processing, when a large number of FDID records within a single file each have a large number of data validation errors.	Code Release	High	**Workaround:** If the file remains in FILE_INTEGRITY_PASSED for more than 2 hours, then contact the FINRA CAT Helpdesk for further assistance. **Fix:** 5/1/2022	**Fix:** No later than 6/13/2022	Data Validation

*** The Known Issues List is published on www.catnmsplan.com under "Industry Member Specifications" ***

CAT Full CAIS Open Issues List – As of 4/18/2022
Release Planned/Workaround Provided – Additional Releases

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
5	NEW – Open	N/A	Data file submissions intermittently display on the Reporter portal as in progress and completed simultaneously.	Code Release	Low	**Fix:** 5/25/2022	**Fix:** 6/13/2022	Reporter Portal
6	NEW – Open	N/A	Intermittent instances of CAIS Data files remaining in a RECORD_SCAN_COMPLETED status for an extended time and not completing processing, when the file contains FDID records that have been previously accepted in to CAIS with a common Customer that has associations to a significant number of FDIDs (1000+), and the new submission file implicitly ends associations to the previously associated Customer.	Code Release	High	**Workaround:** If the file remains in RECORD_SCAN_COMPLETED for more than 4 hours, then contact the FINRA CAT Helpdesk for further assistance. **Fix:** 5/1/2022	**Fix:** No later than 6/13/2022	Data Ingestion

CAT Full CAIS Recently Closed Issues List
As of 4/18/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Closed	N/A	Selecting an "Error Identification Date" within the Rejections page of the Reporter Portal may display an "Error Loading Data" message.	Code Release	Medium	**Fix:** 4/10/2022	**Fix:** N/A	Reporter Portal

Planned Enhancements and Specification Updates

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	Deployed 1/30/2022	**Fix:** 4/24/2022	Reporter Portal
2	Open	N/A	The Update button on a Manual Form Submission is enabled when viewing a previously added record. The button should be disabled until at least one field is updated by the user.	Code Release	Low	**Fix:** TBD	**Fix:** 7/11/2022	Manual Form Submission
3	Open	N/A	When selecting date values in the Manual Form Submission, the date is not selected when the user first clicks a date. The date is only selected on the second click.	Code Release	Low	**Fix:** TBD	**Fix:** 7/11/2022	Manual Form Submission
4	Open	N/A	Certain columns are not displayed in the Submission Report by default.	Code Release	Low	**Workaround:** User may add the columns to their view. **Fix:** TBD	**Fix:** 7/11/2022	Reporter Portal
5	NEW - Open	N/A	Update SFTP feedback file to include "CANCELLED_BY_SUPPORT" status.	Code Release	Medium	**Fix:** 5/25/2022	**Fix:** 7/11/2022	Reporter Portal

CAT CAIS Planned Enhancements – Recently Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted 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	Effective Date - Test	Effective Date - Prod
1	Published	Add an additional *foreignTIDType* value of 'DRIVERLICENSE'.	12/17/2021	2.0r6	3/27/2022	4/24/2022
2	Published	Add additional US Region Codes of AA, AE, and AP, for reporting of US military and diplomatic mailing addresses.	12/17/2021	2.0r6	3/27/2022	4/24/2022
3	Published	Add a new *fdidEndReason* value of 'INACTIVE' as option to end FDIDs that have had no CAT-reportable activity events (e.g., MENO, MEOR, MEOT, etc.) associated with the Account in the prior six months. For the purposes of periodic refresh requirements, monthly refresh report excludes any FDID with an *fdidEndReason* of 'INACTIVE' populated and an *fdidEndDate* set on or before the date of the report.	3/9/2022	2.0r7	8/28/2022	9/11/2022
4	Published	Remove 'BROKERAGE' *accountType* value for FDID records.	3/9/2022	2.0r7	4/10/2022	4/24/2022
5	Published	Remove 'CP' and 'OTHBKR' *customerType* values for Legal Entity Customer Records.	3/9/2022	2.0r7	4/10/2022	4/24/2022
6	Published	Remove the *primeBrokerID* and *bankDepositoryID* attributes, and replace with a new *DVPCustodianID* attribute with the following definition: If the custodian is a US broker-dealer, this field must represent the clearing number of the custodian. If the custodian is a US bank and is not a registered broker-dealer, this field must represent the DTC number of the bank. If the custodian is a foreign entity, must be populated with a value of 'FOR'. Required when the *accountType* is 'DVP/RVP'.	3/9/2022	2.0 r7	4/10/2022	4/24/2022
7	Published	Remove 'ADVISED' *accountType* value for FDID records.	3/9/2022	2.0 r7	4/10/2022	4/24/2022

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

CAT CAIS–
Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod
8	Published	Add an additional *foreignTIDType* value of an other government assigned identifier ("OTHGOVT") that is known to have been assigned by a non-national level government entity, such as a local government entity. The OTHGOVT *foreignTIDType* will be added as the last entry in the Foreign TID Type hierarchy, after "DRIVERLICENSE," and will be usable for both Natural Person and Legal Entity CAT Customers.	4/8/2022	2.0r8	6/13/2022	6/27/2022
9	Published	Add a multi-dimensional array on the FDID, called *authTraderNamesList*, for reporting of Natural Person Authorized Traders where an Industry Member has not historically collected and systematized all data required to report the trader as a Natural Person CAT Customer, and will not be able to collect and systematize the data by July 11, 2022. The Authorized Trader Names List must only include Natural Person Authorized Traders, where the IM does not have all data required to report the Authorized Trader as a full CAT Customer record	4/8/2022	2.0r8	5/25/2022	6/13/2022

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

General Announcements and Reminders

Environment Availability

▸ The CAT CAIS Production environment will be unavailable from Saturday, April 23, 2022 at approximately 8 a.m. ET to Sunday, April 24, 2022 at approximately 1 p.m. ET and the CAT CAIS Production Mirror environment will be unavailable from Thursday, April 21, 2022 at approximately 8 a.m. ET to Sunday, April, 24, 2022 at approximately 1 p.m. ET to facilitate the deployment of Full CAIS functionality. During these times, Industry Members will not be able to submit data to the CAT CAIS Production and Production Mirror environments, respectively.

▸ All Primary EAST 1 environments for both the Transaction and CAIS systems will be unavailable from approximately 8 p.m. ET on May 13, 2022 until 2 p.m. ET on May 15, 2022 for a scheduled internal Disaster Recovery failover test, during which time Industry Members will not be able to submit data to CAT.

   ◦ FINRA CAT will send a communication when the systems become unavailable and will send another communication when the systems are back up.

Full CAIS Phase Reporting Certification

➢ Full CAIS Phase certification opened in the Industry Test environment on February 1.

➢ Full CAIS Phase Certification now due June 21, 2022, rather than June 20, in recognition of the Juneteenth holiday observed June 20.

➢ Webinar from October 6, 2021, covered Full CAIS certification requirements and is available on the CAT NMS Plan site.

➢ Certification is also detailed in the Industry Member CAIS Onboarding Guide.

➢ Effective April 25, 2022, a separate CAIS Reporter Production User role must also be assigned to enable submission of Full CAIS Phase files in the CAIS Production environment. LTID Phase files may still be submitted with the existing Prod entitlement.

FINRA CAT Announcements and Reminders

- CAT CAIS Checkpoint Calls to be held every other Wednesday at 4:15 E.T. – the next call is scheduled for Wednesday May 4, 2022

- 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.