
Consolidated Audit Trail

Customer and Account Information System
(CAIS)

Full CAIS Demo – Part 3

5/3/22

Full CAIS Demo Coverage

- Part 1 - Demo (December 14, 2021)
 - ❑ Paired File Submissions via SFTP and UI
 - ❑ Full CAIS/LTID Phase submission toggle
 - ❑ Updated Submissions in Progress and Completed Submissions tabs
 - ❑ FDID and CAT Customer Rejection tabs
 - ❑ Submission Reports tab

- Part 2 – Demo (January 25, 2022)
 - ❑ Manual Submission
 - ❑ Inconsistencies
 - ❑ Q&A regarding error correction

- Part 3 – Demo (May 3, 2022)
 - ❑ FDID Reconciliation Report

**The live demonstration of the CAIS Reporter Portal
will be posted to the Video Tutorials page soon.**

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.