

Industry Member Release Rollout – Pre-Full CAIS Production

Full CAIS Release 1 Industry Test – 1/31/2022 Production – 4/25/2022	Full CAIS Release 2a Industry Test – 3/28/2022 Production – 4/25/2022	Full CAIS Release 2b Industry Test – 4/11/2022 Production – 4/25/2022
<p>Ingestion</p> <ul style="list-style-type: none">• Industry Test Open for Machine-to-Machine File & Data Integrity Validations, Material Inconsistencies, and Feedback• Feedback file contains up to 1,000 Rejections <p>CAIS Reporter Portal</p> <ul style="list-style-type: none">• Manual File Upload• Manual Submission• Submission Feedback• Inconsistencies Feedback• Nightly Inconsistencies Report <p>Full CAIS Certification opened on 2/1/2022</p>	<p>Ingestion</p> <ul style="list-style-type: none">• New DRIVERLICENSE Foreign TID Type• EIN Validation changed to format validation• Feedback file enhanced to include all Rejections feedback <p>CAIS Reporter Portal</p> <ul style="list-style-type: none">• FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)	<p>Ingestion</p> <ul style="list-style-type: none">• Remove OTHBKR and CP <i>customerType</i> values for Legal Entity Customer Records• Remove BROKERAGE and ADVISED values for <i>accountType</i>• Remove <i>primeBrokerID</i> and <i>bankDepositoryID</i> fields and add a new <i>DVPCustodianID</i> field

Industry Member Release Rollout – Pre-Full CAIS 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 4

Industry Test – 6/26/2022

Production – 7/1/2022

Ingestion

- New OTHGOVT Foreign TID Type

Performance Enhancements

- CAIS file processing improvements

Minor Enhancements and Bug Fixes

Full CAIS Release 5

Industry Test – 9/19/2022

Production – 10/3/2022

Performance Enhancements

- CAIS file processing improvements

Minor Enhancements and Bug Fixes

Industry Member Release Rollout – Full CAIS Production

Full CAIS Release 6

Industry Test – 11/21/2022

Production – 12/19/2022

Bug Fixes

Full CAIS Release 6b

Industry Test – 1/16/2023

Production – 1/23/2023

Ingestion

- Temporarily disable all Material Inconsistency validations (Inconsistency Codes 30002, 30003 and 30004)
- Temporarily disable related *updateNotification* validations (Error Codes 22503 and 22525)

Industry Member Release Rollout – Full CAIS Production

CAIS Report Card Release

Report Card

- The first Full CAIS Compliance Report Card will be published on May 15, 2023 for the month of April 2023
- Compliance Rates distinguished for Correspondent data

Industry Member Release Rollout – Planned Future Enhancements

Industry Test – TBD
Production – TBD

- INACTIVE End Reason will be made available prior to the periodic Customer & Account Information refresh
- Automated Transfer Procedure
- Optimization of error feedback
- Validate that *correspondentCRD* is a different identifier than the *catReporterCRD*