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# Industry CAT CAIS Release Status

January 10, 2024

# Agenda

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- CAIS Releases
- Open Issues, Planned Enhancements and Planned Technical Specification Updates
- General Announcements and Reminders
- Q&A
- Appendix

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# CAIS Releases

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# CAIS Industry Member Release Rollout

Industry Test: 1/29/2024

Production: 2/26/2024

- Re-Enable Material Inconsistencies
- Daily delivery of Outstanding Material Inconsistencies Feedback Files
- Retire Error Codes 22503 and 22525
- Daily delivery of Outstanding Rejections Feedback Files
- Fix Known Issues (High/Med priority)
- Expand *correctionList*

***In the Transaction System:***

- Enable FDID Validations
- Deliver list of FDIDs accepted to Transaction Production that are not in CAIS Production

CAIS 2024 Release 2

Industry Test: TBD

Production: No later than  
04/08/2024

- Material Inconsistencies Statistics screen
- Fix other Known Issues

CAIS Report Card Release

**Report Card**

- The first Full CAIS Report Card for the month of June 2024 will be published in July 2024
- Compliance Rates distinguished for Correspondent data

# Full CAIS Phase Statistics – January 1<sup>st</sup> – January 7<sup>th</sup>, 2024

| Production Environment     |   |  |  |  |   |   |   |
|----------------------------|---|--|--|--|---|---|---|
|                            | Monday, 1/1                                   | Tuesday, 1/2                                   | Wednesday, 1/3                                     | Thursday, 1/4                                      | Friday, 1/5                                       | Saturday, 1/6                             | Sunday, 1/7                               |
| Number of Total Submitters | 23  | 52   | 65   | 67   | 30  | 0   | 0   |
| Number of Unique Firms     | 55  | 395  | 884  | 906  | 594   | 0   | 0   |
| Number of Files Received   | Total: 113<br>Reporter Portal: 0<br>SFTP: 113 | Total: 839<br>Reporter Portal: 27<br>SFTP: 812 | Total: 2,671<br>Reporter Portal: 40<br>SFTP: 2,631 | Total: 2,414<br>Reporter Portal: 28<br>SFTP: 2,386 | Total: 2,077<br>Reporter Portal: 2<br>SFTP: 2,075 | Total: 0<br>Reporter Portal: 0<br>SFTP: 0 | Total: 0<br>Reporter Portal: 0<br>SFTP: 0 |
| Number of Files Rejected   | 12  | 37   | 40   | 35   | 25  | 0   | 0   |
| File Reject Rate           | 10.62%  | 4.41%  | 1.50%  | 1.45%  | 1.20%   | 0.00%                                     | 0.00%                                     |

# Full CAIS Phase Statistics – January 1<sup>st</sup> – January 7<sup>th</sup>, 2024

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| Production Environment     |             |              |                |               |             |               |             |
|----------------------------|-------------|--------------|----------------|---------------|-------------|---------------|-------------|
|                            | Monday, 1/1 | Tuesday, 1/2 | Wednesday, 1/3 | Thursday, 1/4 | Friday, 1/5 | Saturday, 1/6 | Sunday, 1/7 |
| FDID Records Accepted      | 569,024     | 1,464,367    | 3,059,815      | 2,779,841     | 1,311,113   | 0             | 0           |
| FDID Records Rejected      | 3,570       | 48,568       | 97,894         | 84,575        | 36,870      | 0             | 0           |
| FDID Records Submitted     | 572,594     | 1,512,935    | 3,157,709      | 2,864,416     | 1,347,983   | 0             | 0           |
| FDID Record Rejection Rate | 0.62%       | 3.21%        | 3.10%          | 2.95%         | 2.74%       | 0.00%         | 0.00%       |

# Full CAIS Phase Statistics – January 1<sup>st</sup> – January 7<sup>th</sup>, 2024

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| Production Environment         |             |              |                |               |             |               |             |
|--------------------------------|-------------|--------------|----------------|---------------|-------------|---------------|-------------|
|                                | Monday, 1/1 | Tuesday, 1/2 | Wednesday, 1/3 | Thursday, 1/4 | Friday, 1/5 | Saturday, 1/6 | Sunday, 1/7 |
| Customer Records Accepted      | 92,708      | 1,072,620    | 2,825,035      | 2,520,698     | 1,718,966   | 0             | 0           |
| Customer Records Rejected      | 4,324       | 95,251       | 114,743        | 99,055        | 48,659      | 0             | 0           |
| Customer Records Submitted     | 97,032      | 1,167,871    | 2,939,778      | 2,619,753     | 1,767,625   | 0             | 0           |
| Customer Record Rejection Rate | 4.46%       | 8.16%        | 3.90%          | 3.78%         | 2.75%       | 0.00%         | 0.00%       |

# CAIS Rejection Observations

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| Rejection Source | Top Rejection Reasons  |
|------------------|--|
| File             | <ul style="list-style-type: none"><li>• Unauthorized CAT Submitter ID</li><li>• Paired Identifiers file not received</li><li>• Missing or Invalid Legal Entity Customer Record Count</li><li>• Duplicate File</li><li>• Missing or Invalid File Version</li></ul>  |
| FDID             | <ul style="list-style-type: none"><li>• FDID Record is rejected because an associated Customer Record was rejected</li><li>• Multiple active roles for Customer within <i>fdidCustomerList</i></li><li>• Missing ADDRESS1 type Address Record</li><li>• Missing or Invalid <i>city</i></li><li>• Missing <i>addrLine1</i></li></ul>                              |
| Customer         | <ul style="list-style-type: none"><li>• Customer Record rejected because an associated FDID was rejected</li><li>• Missing or Invalid format of <i>yearOfBirth</i></li><li>• Legal Entity CAT Customer reported with improper <i>tidType</i></li><li>• Missing or Invalid <i>lastName</i></li><li>• Multiple instances of Customer with differing data</li></ul> |



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# Open Issues, Planned Enhancements, and Planned Technical Specification Updates

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# CAIS Open Issues List – As of 1 / 10 / 2024

## Release Planned/Workaround Provided

| # | Status | Error Code                                    | Summary  | Resolution            | Priority | Test Environment<br>Targeted Release Date/Workaround   | Production/Production Mirror<br>Environments<br>Targeted Release Date/Workaround   | Area Affected   |
|---|--------|---|--|-----------------------|----------|--|--|-----------------|
| 1 | Open   | N/A   | Intermittent instances where rejections, inconsistencies details and repair credit may be incomplete on the reporter portal screens.<br><br>Rejections and Inconsistencies details are being delivered via feedback files.<br><br>Any rejections and repairs made for data submitted after these dates will be accurately reflected on the rejections screen. Users may still encounter this issue for prior rejections. | Code Release/Data Fix | High     | <b>Go-forward Fix: 06/05/2023</b><br><b>Data Fix: N/A</b>  | <b>Go-Forward Fix: 06/26/2023</b><br><b>Data Fix: 02/26/2024</b>   | Reporter Portal |
| 2 | Open   | Multiple                                      | An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings.   | Code Release/Data Fix | High     | <b>Fix: 01/29/2024</b>   | <b>Fix: 02/26/2024</b>   | Data Validation |
| 3 | Open   | N/A   | Intermittent instances where FDID Reconciliation Report may return stale information.<br><br>Users may still encounter this issue for prior submissions.   | Code Release/Data Fix | High     | <b>Go-forward Fix: 06/05/2023</b><br><b>Data Fix: N/A</b>  | <b>Go-Forward Fix: 06/26/2023</b><br><b>Data Fix: 02/26/2024</b>   | Reports         |
| 4 | Open   | 30002,<br>30003,<br>30004,<br>22503,<br>22525 | An attempt to resolve a material inconsistency may incorrectly generate additional erroneous rejections and/or inconsistencies.<br><br><b>FINRA CAT has temporarily disabled the Material Inconsistency and related <i>updateNotification</i> validations.</b>   | Code Release          | High     | <b>Deployed: 01/16/2023</b><br><b>Fix: 01/29/2024</b><br><b>Guidance:</b><br>Industry Members should resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections. | <b>Deployed: 01/23/2023</b><br><b>Fix: 02/26/2024</b><br><b>Guidance:</b><br>Industry Members should resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections. | Data Validation |

\*\*\* The Known Issues List is published on [www.catnmsplan.com](http://www.catnmsplan.com) under “Industry Member Specifications” \*\*\*

# CAIS Open Issues List – As of 1 / 10 / 2024

## Release Planned/Workaround Provided

| # | Status | Error Code   | Summary  | Resolution   | Priority | Test Environment<br>Targeted Release Date/Workaround | Production/Production Mirror<br>Environments<br>Targeted Release Date/Workaround | Area Affected   |
|---|--------|--------------|--|--------------|----------|--|--|-----------------|
| 5 | Open   | N/A          | Files containing more than 6 million total records (FDIDs + Customers) with multiple errors within the file may not return feedback in the times specified within the Full CAIS Technical Specifications.  | Code Release | Low      | Fix: TBD   | Fix: TBD   | Feedback Files  |
| 6 | Open   | N/A          | Use of Manual Submission within the CAIS Reporter Portal does not currently allow a user to enter Extended Text characters properly for the <i>accountName</i> field. Submission of Extended Text characters in the field via SFTP or upload of files within the CAIS Reporter Portal does allow for the Extended Text properly. | Code Release | Low      | Fix: TBD   | Fix: TBD   | Reporter Portal |
| 7 | Open   | N/A          | In limited instances, for dates 9/22/22 and 9/23/22, impacted inconsistencies were erroneously duplicated for the same Customer. Resolving one of them using the <i>updateNotification</i> does not resolve all of the Customer's outstanding inconsistencies.   | Data Fix     | Low      | Fix: N/A   | Fix: 02/26/2024  | Reporter Portal |
| 8 | Open   | 24001, 24005 | Correction attempt with a <i>rejectionID</i> unknown to CAIS generates an incorrect warning of 24005 instead of 24001.   | Code Release | Low      | Fix: 01/29/2024                                      | Fix: 02/26/2024  | Data Validation |

# CAIS Open Issues List – As of 1 / 10 / 2024

## Release Planned/Workaround Provided

| #  | Status | Error Code                | Summary  | Resolution            | Priority | Test Environment<br>Targeted Release Date/Workaround | Production/Production Mirror<br>Environments<br>Targeted Release Date/Workaround   | Area Affected   |
|----|--------|---------------------------|--|-----------------------|----------|--|--|-----------------|
| 9  | Open   | 30002,<br>30003,<br>30004 | Intermittent instances where the CAIS system incorrectly generates subsequent impacted inconsistencies on customer records that have already been resolved with a prior submission.                        | Code Release          | Low      | Fix: 01/29/2024                                      | Fix: 02/26/2024  | Data Validation |
| 10 | Open   | 22523                     | Prior to 10/2/2022: Limited instances where Customer Records properly rejected with Error Code 22900 also erroneously received Error Code 22523. The 22523 rejections are currently unrepairable.          | Code Release/Data Fix | Medium   | Fix: N/A   | Go-forward Fix: 10/3/2022<br>Data Fix: No later than 4/08/2024<br>Work around:<br>Effective 2/26/2024, Industry Members can use the expanded <i>correctionList</i> to delete the unrepairable rejections | Data Validation |
| 11 | Open   | 22034                     | Incorrectly generating Error Code 22034 (Data type violation – FDID) when submitting records with a <i>branchOfficeCRD</i> or <i>registeredRepCRD</i> using manual submission in the CAIS Reporter Portal. | Code Release          | Low      | Fix: TBD   | Fix: TBD   | Data Validation |

# CAIS Open Issues List – As of 1 / 10 / 2024

## Release Planned/Workaround Provided

| #  | Status       | Error Code | Summary   | Resolution            | Priority | Test Environment<br>Targeted Release Date/Workaround   | Production/Production Mirror<br>Environments<br>Targeted Release<br>Date/Workaround  | Area<br>Affected |
|----|--------------|------------|---|-----------------------|----------|--|--|------------------|
| 12 | Open         | N/A        | Intermittent instances of rejection and inconsistency repairs not being properly reflected in the submissions report.<br><br>Any rejections and repairs made for data submitted after these dates will be accurately reflected on the rejections screen. Users may still encounter this issue for prior rejections. | Code Release/Data Fix | Medium   | Go-forward Fix: 06/05/2023<br>Data Fix: N/A  | Go-forward Fix: 06/26/2023<br>Data Fix: 02/26/2024   | Reporter Portal  |
| 13 | Open         | 30004      | Intermittent instances of incorrectly generating Inconsistency Code 30004 when the <i>tidType</i> is not 'FOREIGN'.   | Code Release          | Low      | Fix: 01/29/2024  | Fix: 02/26/2024  | Inconsistencies  |
| 14 | Open         | N/A        | Incorrectly accepting submissions that include an Extended Text character and/or a prohibited delimiter in the <i>postalCode</i> field. These submissions should reject with a 22034 or 22522 error. Prohibited delimiters for Text fields are comma, pipe, double quote, and the '@' symbol.                       | Code Release          | Low      | Fix: TBD   | Fix: TBD   | Data Validation  |
| 15 | Updated Open | N/A        | Limited instances where one of the feedback versions is missing.  | Code Release          | Low      | Fix: TBD   | Fix: TBD   | Feedback         |
| 16 | Open         | 22042      | Erroneously generating Error Code 22042 in instances where a single Customer is identified in the <i>fdidCustomerList</i> twice with roles that start and end on the same day, and the ended role is not listed first within the <i>fdidCustomerList</i> .  | Code Release          | Low      | Fix: TBD<br><br>Workaround:<br>Within the <i>fdidCustomerList</i> , list the Customer's ended role first and the active role second. | Fix: TBD<br><br>Workaround:<br>Within the <i>fdidCustomerList</i> , list the Customer's ended role first and the active role second. | Data Validation  |

# CAIS Open Issues List – As of 1 / 10 / 2024

## Release Planned/Workaround Provided

| #  | Status | Error Code                | Summary   | Resolution               | Priority | Test Environment<br>Targeted Release Date/Workaround  | Production/Production Mirror<br>Environments<br>Targeted Release<br>Date/Workaround  | Area<br>Affected   |
|----|--------|---------------------------|---|--------------------------|----------|---|--|--------------------|
| 17 | Open   | 22071                     | Erroneously accepting FDID Records with multiple Customers where at least one active Customer has a <i>role</i> indicating no trading capabilities (e.g., NTHOLDER) and at least one Customer with a <i>role</i> indicating trading capabilities (e.g., <i>role</i> of 'AUTHREP' and <i>hasDiscretion</i> is 'true') is no longer active (i.e., <i>roleEndDate</i> is populated with a current or past date). These records should be rejected with Error Code 22071. | Code Release             | Medium   | Fix: TBD  | Fix: TBD   | Data<br>Validation |
| 18 | Open   | 22502,<br>22522,<br>22528 | Limited instances of customer rejections that are not repairable.   | Code<br>Release/Data Fix | Medium   | <b>Go-forward Fix: 9/25/2023</b><br><b>Data Fix: No later than 4/08/2024</b><br><b>Work around:</b><br>Effective 1/29/2024, Industry Members can use the expanded <i>correctionList</i> to delete the unrepairable rejections | <b>Go-forward Fix: 10/23/2023</b><br><b>Data Fix: No later than 4/08/2024</b><br><b>Work around:</b><br>Effective 2/26/2024, Industry Members can use the expanded <i>correctionList</i> to delete the unrepairable rejections | Data<br>Validation |
| 19 | Open   | N/A                       | In instances where a firm repairs a <i>firmDesignatedID</i> value that was duplicated, an <i>fdidRecordID</i> value that was duplicated, or a <i>customerRecordID</i> value that was duplicated within the original submission, the count of repaired FDIDs or Customers in the Submission Report is understated.   | Code Release             | Medium   | Fix: TBD  | Fix: TBD   | Reporter<br>Portal |
| 20 | Open   | N/A                       | Intermittent instances where a single FDID or Customer Record that was rejected more than 500 times and has not been repaired, the Account Rejections and Customer Rejections screens incorrectly display a status of "Outstanding (0)". The number of outstanding rejections for the FDID or Customer Record should be populated with a number greater than zero.  | Code Release             | Medium   | Fix: TBD  | Fix: TBD   | Reporter<br>Portal |

# CAIS Open Issues List – As of 1 / 10 / 2024

## Release Planned/Workaround Provided

| #  | Status | Error Code | Summary  | Resolution   | Priority | Test Environment<br>Targeted Release Date/Workaround | Production/Production Mirror<br>Environments<br>Targeted Release<br>Date/Workaround | Area<br>Affected   |
|----|--------|------------|--|--------------|----------|--|---|--------------------|
| 21 | Open   | N/A        | Intermittent slowness when downloading a large number of rejections from the Portal. | Code Release | Low      | Fix: 12/11/2023                                      | Fix: 02/26/2024   | Reporter<br>Portal |

# CAIS Planned Enhancements – Open

| # | Status | Error Code | Summary   | Resolution   | Priority | Test Environment Targeted Release Date   | Production/Production Mirror Environments Targeted Release Date | Area                   |
|---|--------|------------|---|--------------|----------|--|---|------------------------|
| 1 | 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      | <b>Fix:</b> TBD  | <b>Fix:</b> TBD   | Manual Form Submission |
| 2 | 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      | <b>Fix:</b> TBD  | <b>Fix:</b> TBD   | Manual Form Submission |
| 3 | Open   | N/A        | Certain columns are not displayed in the Submission Report by default.  | Code Release | Low      | <b>Workaround:</b><br>User may add the columns to their view.<br><b>Fix:</b> TBD | <b>Fix:</b> N/A   | Reporter Portal        |



# Planned CAIS Technical Specification Updates

| # | Status | Summary   | Publish Date | Spec Version | Effective Date<br>- Test | Effective Date<br>– Prod/Prod<br>Mirror |
|---|--------|---|--------------|--------------|--------------------------|---|
| 1 | Open   | Expand the <i>correctionList</i> to allow a <i>correctionAction</i> of ‘DELETE’ for all Data Validation Errors (Error Codes 22001 through 23999). | 12/29/2023   | 2.1          | 01/29/2024               | 02/26/2024                              |
| 2 | Open   | Retire Error Codes 22503 and 22525.   | 12/29/2023   | 2.1          | 01/29/2024               | 02/26/2024                              |
| 3 | Open   | Add Warning Code 24009 to indicate that an attempt is being made to repair a <i>rejectionID</i> that has already been repaired.                   | TBD          | TBD          | 01/29/2024               | 02/26/2024                              |

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

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# General Announcements and Reminders

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# Announcements and Reminders

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- ▶ The next [Monthly CAT Update](#) call will be on Thursday, January 18, 2024, at 4:15 pm ET.
- ▶ The next [CAT CAIS Checkpoint](#) call will be on Wednesday, February 7, 2024, at 4:15 pm ET.

# 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)

# How to Ask a Question during Today's Call

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- **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.

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# Appendix

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# Full CAIS Phase Statistics – January 1<sup>st</sup> – January 7<sup>th</sup>, 2024

| Industry Test Environment  |   |   |   |   |   |   |   |
|----------------------------|---|---|---|---|---|---|---|
|                            | Monday, 1/1                                 | Tuesday, 1/2                                  | Wednesday, 1/3                                    | Thursday, 1/4                                     | Friday, 1/5                                       | Saturday, 1/6                                 | Sunday, 1/7                               |
| Number of Total Submitters | 3   | 6   | 12  | 12  | 10  | 4   | 0   |
| Number of Unique Firms     | 33  | 169   | 322   | 331   | 307   | 104   | 0   |
| Number of Files Received   | Total: 44<br>Reporter Portal: 0<br>SFTP: 44 | Total: 289<br>Reporter Portal: 0<br>SFTP: 289 | Total: 1,228<br>Reporter Portal: 1<br>SFTP: 1,227 | Total: 1,378<br>Reporter Portal: 0<br>SFTP: 1,378 | Total: 1,472<br>Reporter Portal: 1<br>SFTP: 1,471 | Total: 306<br>Reporter Portal: 0<br>SFTP: 306 | Total: 0<br>Reporter Portal: 0<br>SFTP: 0 |
| Number of Files Rejected   | 11  | 34  | 148   | 126   | 120   | 6   | 0   |
| File Reject Rate           | 25.00%                                      | 11.76%  | 12.05%  | 9.14%   | 8.15%   | 1.96%   | 0.00%                                     |

# Full CAIS Phase Statistics – January 1<sup>st</sup> – January 7<sup>th</sup>, 2024

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| Industry Test Environment  |             |              |                |               |             |               |             |
|----------------------------|-------------|--------------|----------------|---------------|-------------|---------------|-------------|
|                            | Monday, 1/1 | Tuesday, 1/2 | Wednesday, 1/3 | Thursday, 1/4 | Friday, 1/5 | Saturday, 1/6 | Sunday, 1/7 |
| FDID Records Accepted      | 225         | 47,163       | 340,407        | 470,325       | 441,618     | 53,558        | 0           |
| FDID Records Rejected      | 0           | 39,912       | 65,787         | 64,937        | 36,248      | 998           | 0           |
| FDID Records Submitted     | 225         | 87,075       | 406,194        | 535,262       | 477,866     | 54,556        | 0           |
| FDID Record Rejection Rate | 0.00%       | 45.84%       | 16.20%         | 12.13%        | 7.59%       | 1.83%         | 0.00%       |



# Full CAIS Phase Statistics – January 1<sup>st</sup> – January 7<sup>th</sup>, 2024

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| Industry Test Environment      |             |              |                |               |             |               |             |
|--------------------------------|-------------|--------------|----------------|---------------|-------------|---------------|-------------|
|                                | Monday, 1/1 | Tuesday, 1/2 | Wednesday, 1/3 | Thursday, 1/4 | Friday, 1/5 | Saturday, 1/6 | Sunday, 1/7 |
| Customer Records Accepted      | 225         | 76,338       | 512,751        | 750,471       | 605,792     | 74,763        | 0           |
| Customer Records Rejected      | 0           | 83,033       | 60,676         | 63,905        | 34,649      | 1,758         | 0           |
| Customer Records Submitted     | 225         | 159,371      | 573,427        | 814,376       | 640,441     | 76,521        | 0           |
| Customer Record Rejection Rate | 0.00%       | 52.10%       | 10.58%         | 7.85%         | 5.41%       | 2.30%         | 0.00%       |

# Full CAIS Phase Statistics – December 25<sup>th</sup> – December 31<sup>st</sup>, 2023

| Production Environment     |   |  |  |  |  |   |   |
|----------------------------|---|--|--|--|--|---|---|
|                            | Monday, 12/25                                 | Tuesday, 12/26                                 | Wednesday, 12/27                                   | Thursday, 12/28                                    | Friday, 12/29                                      | Saturday, 12/30                                   | Sunday, 12/31                               |
| Number of Total Submitters | 23  | 53   | 66   | 62   | 61   | 22  | 5   |
| Number of Unique Firms     | 58  | 397  | 863  | 851  | 826  | 651   | 6   |
| Number of Files Received   | Total: 118<br>Reporter Portal: 0<br>SFTP: 118 | Total: 803<br>Reporter Portal: 27<br>SFTP: 776 | Total: 2,443<br>Reporter Portal: 27<br>SFTP: 2,416 | Total: 2,313<br>Reporter Portal: 49<br>SFTP: 2,264 | Total: 2,651<br>Reporter Portal: 31<br>SFTP: 2,620 | Total: 1,756<br>Reporter Portal: 1<br>SFTP: 1,755 | Total: 62<br>Reporter Portal: 0<br>SFTP: 62 |
| Number of Files Rejected   | 12  | 37   | 100  | 38   | 34   | 27  | 0   |
| File Reject Rate           | 10.17%  | 4.61%  | 4.09%  | 1.64%  | 1.28%  | 1.54%   | 0.00%                                       |

# Full CAIS Phase Statistics – December 25<sup>th</sup> – December 31<sup>st</sup>, 2023

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| Production Environment     |               |                |                  |                 |               |                 |               |
|----------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
|                            | Monday, 12/25 | Tuesday, 12/26 | Wednesday, 12/27 | Thursday, 12/28 | Friday, 12/29 | Saturday, 12/30 | Sunday, 12/31 |
| FDID Records Accepted      | 569,070       | 1,288,532      | 2,102,591        | 2,552,803       | 2,691,183     | 1,947,027       | 4,921,450     |
| FDID Records Rejected      | 2,227         | 33,868         | 112,725          | 76,707          | 676,426       | 133,501         | 316           |
| FDID Records Submitted     | 571,297       | 1,322,400      | 2,215,316        | 2,629,510       | 3,367,609     | 2,080,528       | 4,921,766     |
| FDID Record Rejection Rate | 0.39%         | 2.56%          | 5.09%            | 2.92%           | 20.09%        | 6.42%           | 0.01%         |

# Full CAIS Phase Statistics – December 25<sup>th</sup> – December 31<sup>st</sup>, 2023

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| Production Environment         |               |                |                  |                 |               |                 |               |
|--------------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
|                                | Monday, 12/25 | Tuesday, 12/26 | Wednesday, 12/27 | Thursday, 12/28 | Friday, 12/29 | Saturday, 12/30 | Sunday, 12/31 |
| Customer Records Accepted      | 91,435        | 842,031        | 1,815,029        | 2,253,914       | 2,481,659     | 2,226,675       | 4,922,115     |
| Customer Records Rejected      | 1,537         | 32,204         | 129,617          | 84,100          | 776,922       | 138,015         | 317           |
| Customer Records Submitted     | 92,972        | 874,235        | 1,944,646        | 2,338,014       | 3,258,581     | 2,364,690       | 4,922,432     |
| Customer Record Rejection Rate | 1.65%         | 3.68%          | 6.67%            | 3.60%           | 23.84%        | 5.84%           | 0.01%         |

# Full CAIS Phase Statistics – December 18<sup>th</sup> – December 24<sup>th</sup>, 2023

| Production Environment     |  |  |  |  |  |   |   |
|----------------------------|--|--|--|--|--|---|---|
|                            | Monday, 12/18                                      | Tuesday, 12/19                                     | Wednesday, 12/20                                   | Thursday, 12/21                                    | Friday, 12/22                                      | Saturday, 12/23                                   | Sunday, 12/24                             |
| Number of Total Submitters | 56   | 65   | 64   | 65   | 60   | 20  | 4   |
| Number of Unique Firms     | 421  | 928  | 880  | 834  | 822  | 551   | 5   |
| Number of Files Received   | Total: 1,021<br>Reporter Portal: 19<br>SFTP: 1,002 | Total: 2,866<br>Reporter Portal: 20<br>SFTP: 2,846 | Total: 2,403<br>Reporter Portal: 16<br>SFTP: 2,387 | Total: 2,269<br>Reporter Portal: 14<br>SFTP: 2,255 | Total: 2,405<br>Reporter Portal: 11<br>SFTP: 2,394 | Total: 1,660<br>Reporter Portal: 0<br>SFTP: 1,660 | Total: 9<br>Reporter Portal: 0<br>SFTP: 8 |
| Number of Files Rejected   | 184  | 47   | 37   | 38   | 35   | 32  | 0   |
| File Reject Rate           | 18.02%   | 1.64%  | 1.54%  | 1.67%  | 1.46%  | 1.93%   | 0.00%                                     |

# Full CAIS Phase Statistics – December 18<sup>th</sup> – December 24<sup>th</sup>, 2023

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| Production Environment     |               |                |                  |                 |               |                 |               |
|----------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
|                            | Monday, 12/18 | Tuesday, 12/19 | Wednesday, 12/20 | Thursday, 12/21 | Friday, 12/22 | Saturday, 12/23 | Sunday, 12/24 |
| FDID Records Accepted      | 1,235,063     | 2,886,803      | 2,624,439        | 2,448,623       | 2,531,717     | 1,545,193       | 42,299        |
| FDID Records Rejected      | 38,077        | 169,936        | 99,883           | 189,022         | 77,382        | 102,186         | 11            |
| FDID Records Submitted     | 1,273,140     | 3,056,739      | 2,724,322        | 2,637,645       | 2,609,099     | 1,647,379       | 42,310        |
| FDID Record Rejection Rate | 2.99%         | 5.56%          | 3.67%            | 7.17%           | 2.97%         | 6.20%           | 0.03%         |

# Full CAIS Phase Statistics – December 18<sup>th</sup> – December 24<sup>th</sup>, 2023

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| Production Environment         |               |                |                  |                 |               |                 |               |
|--------------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
|                                | Monday, 12/18 | Tuesday, 12/19 | Wednesday, 12/20 | Thursday, 12/21 | Friday, 12/22 | Saturday, 12/23 | Sunday, 12/24 |
| Customer Records Accepted      | 636,038       | 2,591,429      | 2,322,168        | 2,273,115       | 2,264,620     | 1,904,662       | 42,706        |
| Customer Records Rejected      | 44,315        | 213,389        | 122,464          | 309,813         | 93,476        | 104,460         | 10            |
| Customer Records Submitted     | 680,353       | 2,804,818      | 2,444,632        | 2,582,928       | 2,358,096     | 2,009,122       | 42,716        |
| Customer Record Rejection Rate | 6.51%         | 7.61%          | 5.01%            | 11.99%          | 3.96%         | 5.20%           | 0.02%         |

# Full CAIS Phase Statistics – December 11<sup>th</sup> – December 17<sup>th</sup>, 2023

| Production Environment     |  |  |  |  |  |   |   |
|----------------------------|--|--|--|--|--|---|---|
|                            | Monday, 12/11                                  | Tuesday, 12/12                                     | Wednesday, 12/13                                   | Thursday, 12/14                                    | Friday, 12/15                                      | Saturday, 12/16                                   | Sunday, 12/17                               |
| Number of Total Submitters | 60   | 69   | 69   | 68   | 65   | 21  | 6   |
| Number of Unique Firms     | 426  | 832  | 846  | 829  | 817  | 559   | 7   |
| Number of Files Received   | Total: 979<br>Reporter Portal: 39<br>SFTP: 940 | Total: 2,645<br>Reporter Portal: 72<br>SFTP: 2,573 | Total: 2,644<br>Reporter Portal: 53<br>SFTP: 2,591 | Total: 2,366<br>Reporter Portal: 58<br>SFTP: 2,308 | Total: 2,245<br>Reporter Portal: 62<br>SFTP: 2,183 | Total: 1,821<br>Reporter Portal: 0<br>SFTP: 1,821 | Total: 14<br>Reporter Portal: 0<br>SFTP: 14 |
| Number of Files Rejected   | 10   | 40   | 35   | 37   | 34   | 29  | 0   |
| File Reject Rate           | 1.02%  | 1.51%  | 1.32%  | 1.56%  | 1.51%  | 1.59%   | 0.00%                                       |



# Full CAIS Phase Statistics – December 11<sup>th</sup> – December 17<sup>th</sup>, 2023

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| Production Environment     |               |                |                  |                 |               |                 |               |
|----------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
|                            | Monday, 12/11 | Tuesday, 12/12 | Wednesday, 12/13 | Thursday, 12/14 | Friday, 12/15 | Saturday, 12/16 | Sunday, 12/17 |
| FDID Records Accepted      | 12,361,481    | 7,637,529      | 2,978,523        | 2,964,478       | 2,615,349     | 1,574,020       | 48,073        |
| FDID Records Rejected      | 90,209        | 400,524        | 104,201          | 130,634         | 81,154        | 103,687         | 25            |
| FDID Records Submitted     | 12,451,690    | 8,038,053      | 3,082,724        | 3,095,112       | 2,696,503     | 1,677,707       | 48,098        |
| FDID Record Rejection Rate | 0.72%         | 4.98%          | 3.38%            | 4.22%           | 3.01%         | 6.18%           | 0.05%         |

# Full CAIS Phase Statistics – December 11<sup>th</sup> – December 17<sup>th</sup>, 2023

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| Production Environment         |               |                |                  |                 |               |                 |               |
|--------------------------------|---------------|----------------|------------------|-----------------|---------------|-----------------|---------------|
|                                | Monday, 12/11 | Tuesday, 12/12 | Wednesday, 12/13 | Thursday, 12/14 | Friday, 12/15 | Saturday, 12/16 | Sunday, 12/17 |
| Customer Records Accepted      | 11,360,283    | 7,490,227      | 2,720,650        | 2,627,860       | 2,306,750     | 1,942,068       | 52,264        |
| Customer Records Rejected      | 86,268        | 396,011        | 128,023          | 151,031         | 93,565        | 114,619         | 40            |
| Customer Records Submitted     | 11,446,551    | 7,886,238      | 2,848,673        | 2,778,891       | 2,400,315     | 2,056,687       | 52,304        |
| Customer Record Rejection Rate | 0.75%         | 5.02%          | 4.49%            | 5.43%           | 3.90%         | 5.57%           | 0.08%         |