Industry Member CAT CAIS Reporter Portal User Guide

04/23/2024 Version 2.3.0

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Change Log

Version	Date Published	Description of Change(s)
1.0.0	2020-08-21	Initial User Guide
1.1.0	2020-11-4	Added "Entity ID" as an acceptable FDID Type value Added guidance on aggregated statistics functionality for the submission report Included test versus production environment access information for CAIS Release 1.1.
1.2.0	2021-3-24	Updated Access Information to provide Prod Mirror URLs.
2.0.0	2022-1-26	Added of CAIS 2.0 fields and values to Manual Submission section Added of Customer Rejections page to Rejections section Added of Inconsistencies to Error Corrections section Clarified that CAIS Reporting Relationships are view-only in the CAIS application.
2.1.0	N/A	No user guide updates were published in conjunction with CAIS Release 2.1.
2.2.0	04/22/2022	Updated information in Sections 1, 2, and 3 for clarity. Updated Section 6.2 to reflect the collection of DVP Custodian ID. Reformatted all screen shots for consistency and usability.
2.3.0	04/23/2024	Renamed the "Companion Resources" section to conform with the Industry Member CAIS Onboarding Guide Added clarifications to Section 3 – Access Information Added new steps, screenshots and clarifications to Section 4 – Reporting Feedback, Section 5 – Rejections and Inconsistencies and Section 6 – Report to CAIS Added new Section 4.2.2 – Inconsistencies Report and new Section 4.2.3 – Download Feedback Removed the FDID Version Report section due to retirement of the report Renamed Section 5 to "Rejections and Inconsistencies", Section 5.2 to "Rejection Repair" and Section 6.3 to "Download Submission Feedback Files" Added new Section 5.4 – Material Inconsistency Resolution Added new screenshots and clarifications to Section 7 – CAIS Reporting Relationships Removed the Administrative Information section Removed references to expired guidance Updated screenshots throughout Updated section numbers and steps, where necessary Conformed terminology for consistency with other published guidance Corrected minor typos throughout

Overview

The **Industry Member CAT Reporter Portal** – **CAIS** ("CAIS Portal") is a web-based tool that allows CAT Reporters to monitor and manage data submissions to the Customer and Account Information System ("CAIS"). The CAIS Portal includes end-to-end capability for providing complete and accurate data to CAIS, including the ability to manually enter and upload data, monitor submissions and review and correct errors.

Additionally, the CAIS Portal provides access to reporting statistics including information on an Industry Member's submissions and error rates.

Questions

Questions related to this document may be directed to the FINRA CAT Helpdesk at 888-696-3348 or at <u>help@finracat.com</u>.

Companion Resources

- CAT CAIS Industry Member Reporting Scenarios: <u>https://www.catnmsplan.com/specifications/imreportingscenarios</u>
- Customer & Account Technical Specifications for Industry Members and JSON Schemas CAIS System: <u>https://www.catnmsplan.com/specifications/im</u>
- Frequently Asked Questions: <u>https://www.catnmsplan.com/faq</u>
- Industry Member CAIS Onboarding Guide: <u>https://www.catnmsplan.com/cais-registration</u>

1. Entitlement and User Roles

Prior to accessing the CAIS Portal, an individual must have a CAT user account with an assigned user privilege that provides access to the CAIS Portal. See the <u>Industry Member CAIS Onboarding Guide</u> for additional information, including instructions for creating and maintaining a user account and descriptions of available user privileges.

2. Technical Requirements

The CAIS Portal is accessible via the web using a secure, authenticated internet connection. No client software installation is required. To successfully access the CAIS Portal, users must:

- Use TLS 1.2 requiring at a minimum NIST compliant 128-bit ciphers
- Use an HTML5-compatible browser such as Chrome, Edge, or Firefox
- Have established multi-factor authentication

Failure to satisfy these requirements may result in the inability to access the CAIS Portal.

See the <u>FINRA CAT Connectivity Supplement for Industry Members</u> for the available connection methods and all corresponding technical requirements.

3. Access Information

The following table provides the URLs for accessing each CAIS Portal environment (Production, Production Mirror, and Industry Test) for web-based users.

For information on the content and intended use of each environment, see **Section 3.1 CAT System Environments** in the <u>Industry Member CAIS Onboarding Guide</u>.

For information on the connectivity methods and accessing the CAIS Portal via private line or PrivateLink, see the <u>FINRA CAT Connectivity Supplement for Industry Members</u>.

For **web-based** users accessing the CAIS Portal directly through an internet browser:

Production	https://srg.catnms.com/cais/
Production Mirror	https://srg.prodmirror.ct.catnms.com/cais/
Industry Test	https://srg.ct.catnms.com/cais/

For all environments, login sessions must be confirmed every 30 minutes by clicking **Yes** to continue the session when prompted.

4. Reporting Feedback

4.1. Reporting Summary

The CAIS Portal provides statistics for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view statistics for the previous 90 calendar days, including the current date.

To view statistics available for the organization:

1. Select Reports.

Ame Home	Report Management									
1	Submission Report Inconsistencies Report Download Feedback FDID Reconciliation Report									
Submissions	View Data As: All ~									
¢ User	▼ All Record Types ▲ ▲ ▲ </th <th>Apply</th>	Apply								

2. The Report Management screen provides access to the following data: Submission Report, Inconsistencies Report, Download Feedback and FDID Reconciliation Report.

4.2. Reporting Statistics

4.2.1. Submission Report

The CAIS Portal provides a breakdown of statistics by submission file for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view submissions for the previous 90 calendar days, including the current date.

To view a submission report for the organization:

1. Select Reports.



2. The **Submission Report** tab is displayed by default.



3. Optionally, modify the display criteria. Submission statistics for both FDID and CAT Customer record types for the last 30 calendar days are displayed by default. To select another date or date range, utilize the date picker. To view statistics for only FDID or only CAT Customer Record types, select the value from the record type dropdown.

Ame Home	Report Management								
1	Submis	sion Report Incons	sistencies Report	Download Feedback	FDID	Reconciliation Report			
Submissions	View	Data As: All	~						
\$	T	All Record Types	- - 2	0240313 - 20240412		All Reporter CRDs selected	•	Apply	
User		All Record Types							
	CAI	FDID Records Customer Records	The	CAT NMS Plan has set the initia	l Maximur	n Compliance Error Rate at 5%. Please refe	r to the <mark>Corr</mark>	npliance Glossary f	for rate calculation details.

4. Review the Submission Report.

bmission Re	port Inconsistencies Rep	Download Feedback	FDID Reconciliation Report				
/iew Data A	s: All 🗸						
All Re	cord Types 🗸	20240319	All Reporter CRDs selected	✓ Apply			
CAIS Com	ppliance Error Rate 23.11	The CAT NMS Plan has set the in	nitial Maximum Compliance Error Rate at 5%. Please	refer to the Compliance Glossary for rate calculation d	details.		
				FDID Aggregated Statistics			
<	T,833 Records Processed	✓ 5,079 Records Accepted	× 2,754 Records Rejected	1,006 Timely Repairs	Cate Repairs	U 1,748 Outstanding Records	EDID Error Rate
				• 0			
Submi	ssion Report						
Submi:	ssion Report	×				c	P Refresh 🔺 Download 💙 🐵 Display Settings
Submi:	ssion Report	×	Submission Details			2	2 Refresh 🔺 Droveload 🗸 🗢 Oteplay Settings FDID Records
Submis Show colum Version +	ns Submission ID *	V Submission Date *	Submission Details	Status ≎	Processed +		2 Refresh A Download O Display Settings FDID Records Rejected T Rejected
Submi: Show colum Version +	ns	Submission Date *	Submission Details File Name +	Status 0	Processed ©	C Accepted O	2 Refeat Courses Cours

CAIS displays the following information for the specified display criteria:

- Aggregated statistics for files submitted to CAIS over the selected date range, including, for both FDID Records and Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, number of Timely Repairs, number of Late Repairs, number of Outstanding Records and error rates.
- **Submission metadata** for each file submitted to CAIS, including Version, Submission ID, Submission Date, File Name, and Status.
- Record submission statistics for each file submitted to CAIS, including for FDID Records, Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, Timely Repairs, Late Repairs and number of Outstanding Records.
- 5. Optionally, select the **Download** button to download the Submission Report in a CSV file.

/ Data As: 🛛 All 🗸 🗸						
All Record Types 🗸 🗸	20240329 - 20240402	All Reporter CRDs selected	Apply			
Compliance Error Rate 85.0471	The CAT NMS Plan has set the initial Max	imum Compliance Error Rate at 5%. Please re	fer to the Compliance Glossary for rate calco FDID Aggregated Statistics	ulation details.		
5 Compliance Error Rate (85.647) = 1,374,614 Records Processed	The CAT NMS Plan has set the initial Max 185,929 Records Accepted	imum Compliance Error Rate at 5%. Please re X 1,188,685 Records Rejected	fer to the Compliance Glossary for rate calco FDID Aggregated Statistics	ulation details.	I,184,423 Outstanding Records	EDID Error Rate
S Compliance Error Rate (85.047)	The CAT NMS Plan has set the initial Max 185,929 Records Accepted	imum Compliance Error Rate at 5%. Please re ×1,188,685 Records Rejected	fer to the Compliance Glossary for rate calco FDID Aggregated Statistics 2 4,262 Timely Repairs	alation details. <u> 0</u> Late Repairs	1,184,423 Outstanding Records	EDID Error Rate

6. Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.

bmission Re	port Inconsistencies Repor	t Download Feedback FDI	Reconciliation Report					
view Data A	e All v							
All Re	cord Types ~	20240217 - 20240318	All Reporter CRDs selected	soly				
AIS Com	pliance Error Rate 12.751	7%) The CAT NMS Plan has set the initial I	Aaximum Compliance Error Rate at 5%. Please refer to the Co	mpliance Glossary for rate calculation details.				
			n	DID Aggregated Statistics				
¢	Eroris Processed	✓ 47	× 20	₹ 15	X 0	() 5	i 7.46%	
		Records Accepted	Hecorda Hepeciela	Timely Repairs	Late Repairs	Outstanding Records	FDID Error Rate	
		Records Accepted	HELVING HEJELIEN	O	Late Nepairs	Outstanding Records	FDID Error Rate	
Submis	ssion Report	Records Accepted	HILLING REPLYING	 O 	Late Repairs	Outstanding Records	FDID Error Rate	
Submis	ssion Report		neconda negeciera	• •	Late Repairs	Outstanding Records	FDID Error Rate	tiplay Setting
Submi: Show column	ssion Report		Submission Defails	 O 	Late Nepairs	Outstanding Records	CT Refresh A Download V © C	isplay Setting
Show column	ssion Report	v Submission Date *	Submission Details	Status 9	Late repairs	Outstanding Records	FDID Error Rate	tiplay Setting ate Repairs
Submi: Show column File N Statu Corre	s same s s soundent CRD Records - Processed	NECTOS ALEXPRES	Sub-station Details	Status @	Late repairs	Outstanding Records	FDD Error Rate D Refresh A Downstadt Image: Control of the second secon	tiplay Setting ate Repairs 4
Submi: Show column File M Statu Corre FDID FDID	s s s s spondent CRD Records - Arcepted	KEUTUS - KEUTUS	Suburis Reporter	Datus 2	Late repars	Outstanding Records	TOD Error Rate	tiplay Setting ate Repairs 4

The available options under **Show columns** include the following:

- Version To display submissions for Full CAIS Phase (v2.0.0) and/or LTID Phase (v1.0.0).
- Submission Date Date that the file was submitted by or on behalf of the Industry Member to CAT CAIS.
- Reporter CRD CRD number assigned to the Industry Member to which the data belongs.
- Submitter ID Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- User ID A unique account identifier associated to the user with access to the report.
- File Name The name of the file submitted by or on behalf of the Industry Member.
- Status Indicates whether the file submitted with the FDID Record or Customer Record is:
 - o Processing
 - o Without Rejections
 - With Rejections
 - o Integrity Error
 - Processing Failure
 - Cancelled by Support
 - File Timeout
- FDID Records- Processed Indicates the total count of FDID Records processed per file.
- FDID Records- Accepted Indicates the total count of FDID Records accepted per file.
- FDID Records- Rejected Indicates the total count of FDID Records rejected per file.
- FDID Records- Timely Repairs Indicates the total count of FDID Records repaired within the repair window per file.

- FDID Records- Late Repairs Indicates the total count of FDID Records repaired after the repair window per file.
- FDID Records- Outstanding Indicates the total count of FDID Record rejections outstanding per file.
- Customer Records- Processed Indicates the total count of Customer Records processed per file.
- Customer Records- Accepted Indicates the total count of Customer Records accepted per file.
- Customer Records- Rejected Indicates the total count of Customer Records rejected per file.
- Customer Records- Timely Repairs Indicates the total count of Customer Records repaired within the repair window per file.
- Customer Records- Late Repairs Indicates the total count of Customer Records repaired after the repair window per file.
- Customer Records- Outstanding Indicates the total count of Customer Record rejections outstanding per file.

4.2.2. Inconsistencies Report

The Inconsistencies Report allows the user to view both intrafirm inconsistencies and interfirm inconsistencies statistics on a daily basis.

A further breakdown of inconsistencies by Customer Record may also be viewed on the Inconsistencies tab within Submission Management (see <u>Section 5.3</u>).

To view an Inconsistencies Report:

1. Select Reports.



2. Select Inconsistencies Report.

Report Management								
Submission Report	Inconsistencies Report	Download Feedback	FDID Reconciliation Report					

3. Optionally, modify the display criteria. Submission statistics for both intrafirm inconsistencies and interfirm inconsistencies for the last 30 calendar days are displayed by default. To select another date or date range, utilize the date picker.

F	Report Managemen	t				
	Submission Report Incon	sistencies Report	Download Feedback	FDID Reco	nciliation Re	port
	View Data As:	~				
	Enter a date in YYYYMMDD form range in YYYYMMDD - YYYYMM Only dates within the last 91 days selected.	at or a date DD format. can be	porter CRDs selected	•	Apply	

4. The Inconsistencies Report provides statistics by Error Identification Date and Reporter CRD. INTRA Firm Inconsistencies and INTER Firm Inconsistencies are displayed by default.

Inconsistencies Report		
Show columns		C Refresh 🔺 Download 🗸 🛞 Display Settings
	INTER Firm Inconsistencies	
Error Identification Date Reporter CRD CRD CRD CRD CRD CRD CRD CR	Late Late Late Late 0 (Outstanding ©) Inconsistencies © (Timely Repairs ©) Repairs © (Outstanding ©)	
	v v v	

5. Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.

Inconsistencies Report



- 6. The available options under the **Show columns** include the following:
 - Submitter ID Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
 - Correspondent CRD CRD number of a correspondent firm.
 - INTRA Firm Inconsistencies Inconsistencies The total number of Intrafirm Inconsistencies.
 - INTRA Firm Inconsistencies Timely Repairs The number of Intrafirm Inconsistencies that were resolved prior to T+3 at 5:00 p.m. ET.
 - INTRA Firm Inconsistencies Late Repairs The number of outstanding Intrafirm Inconsistencies that were resolved after T+3 at 5:00 p.m. ET.
 - INTRA Firm Inconsistencies Outstanding The number of Intrafirm Inconsistencies for which no resolutions were attempted.
 - INTER Firm Inconsistencies Inconsistencies The total number of Interfirm Inconsistencies.
 - INTER Firm Inconsistencies Timely Repairs The number of Interfirm Inconsistencies that were resolved prior to T+3 at 5:00 p.m. ET.
 - INTER Firm Inconsistencies Late Repairs The number of outstanding Interfirm Inconsistencies that were resolved after T+3 at 5:00 p.m. ET.
 - INTER Firm Inconsistencies Outstanding The number of Interfirm Inconsistencies for which no resolutions were attempted.

Users can also filter columns by specific values.

Inconsistencies Repo	rt									
Show columns	~								C Refresh 🔺 Downloa	a 🗸 🔍 Display Setti
				INTRA Firm Inco	nsistencies			INTER Firm In	consistencies	
Error Identification Date	Reporter CRD ¢	Submitter ID	Inconsistencies 🗢 🛛	Timely Repairs 🗢	Late Repairs ≎	Outstanding 🗢	Inconsistencies	Timely Repairs 🗢	Late Repairs ≎	Outstanding 🗢
		· · · ·	~			~	~			~
2024-01-20	77777777	99999999	2	2	0	0	4	33	0	29
2024-01-23	77777777	0000000	2	9	0	7	2	10	0	8
2024-01-24	77777777	0000000	0	0	0	0	3	0	0	3

4.2.3. Download Feedback

The Download Feedback screen allows users to download Outstanding Material Inconsistencies Feedback and Outstanding Rejection Feedback files for an organization. Outstanding Material Inconsistencies Feedback and Outstanding Rejection Feedback files are available for 10 calendar days. The Download Feedback screen will include the following:

- Material Inconsistencies found during the once-daily scan as well as Material Inconsistencies that remain unresolved at the time of the daily scan (delivered in feedback consisting of a metadata file and data file set).
- Rejections identified during Data Validation that remain unrepaired at the time of the Outstanding Rejections scan (delivered in feedback consisting of a metadata file and data file set).

To view Download Feedback:

1. Select Reports.

CAIS Re	Porter Portal 11:1:07 AM EST 2022-01-11	Bob Smith 1234 REPORTING FIRM INC
Home	Welcome to the CAT Customer and Account Information System	
ئ Submissions	Maximum Allowable Error Rate: 5.00%	
Reports		

2. Select **Download Feedback**. Feedback files are displayed by Processing Date.

Report Management							
Submission Report Inconsistencies Report Dow	FDID Reconciliation Report						

3. To open a file, select the **Dropdown** icon.

Report Management

Submission Report	Inconsistenc	ies Report	Download Feedback	FDID Reconciliation Repor	t
Processing Date 👻	I	File Name 🗢		'	Download
2024-04-11		9999999999999999	0999_20240411_OUTSTANDINGIN	CONSISTENCIES_000001_data.json.bz2	
2024-04-11		999999999_99999	0999_20240411_OUTSTANDINGIN	CONSISTENCIES_000001_meta.json	2
2024-04-10		999999999_7777	7777_20240410_OUTSTANDINGIN	CONSISTENCIES_000001_meta.json	*
2024-04-10		999999999_7777	7777_20240410_OUTSTANDINGIN	CONSISTENCIES_000001_data.json.bz2	2 🛃

4.2.4. FDID Reconciliation Report

The CAIS Portal provides a means for Industry Members and Submitters to reconcile FDID and LTID data stored in CAIS with their own records. Entitled users can upload a newline-delimited text file containing up to 1,000 *firmDesignatedID*s. CAIS will return a Microsoft Excel-readable delimited text file containing the following details for each FDID within the file:

- A Correspondent CRD value, where applicable
- An FDID status value, which indicates whether the FDID is:
 - Active: The FDID does not have an End Date or End Reason value applied.
 - Inactive: The FDID has End Reason and End Date values applied. The End Date value is in the past.
 - Pending Inactivation: The FDID has End Reason and End Date values applied. The End Date value is in the future.
 - Not Found: The FDID has not previously been accepted by CAIS.
- An **Associated Customer Count**, which indicates the number of Customer Records actively associated to the FDID.
- The Last Accepted File Name, which indicates the name of the most recent CAIS Data File containing the FDID submitted by or on behalf of the Industry Member.
- The Version of the Last Accepted File containing the FDID (LTID Phase or Full CAIS Phase).
- The Last Received Date, denoting the time and date on which the FDID Record was last accepted by CAIS.

- A list of **partially masked LTIDs** which are associated to each FDID, including those that have been inactivated or are pending inactivation.
- The LTID Status, which indicates whether the LTID association is:
 - Active: The FDID-to-LTID association does not have an End Date and End Reason value applied.
 - Inactive: The LTID has End Reason and End Date values applied. The End Date value is in the past.
 - **Pending Inactivation**: The LTID association has End Reason and End Date applied. The End Date value is in the future.

To obtain an FDID Reconciliation Report for the organization:

1. Select Reports.

CAIS Reporter Portal 01:39:48 PM EDT 2020-06-30	Bob Smith 🛔 🗣
Arme Rome	Welcome to the CAT Customer and Account Information System
Submissions	Maximum Allowable Error Rate: 5.00%

2. Select FDID Reconciliation Report.

Ame Ame	Report Management								
1	Submission Report Inconsistencies Report Download Feedback FDID Reconciliation Report								
Submissions	Please select a Reporter CRD and upload a new-line delimited text file containing up to 1,000 FDIDs, then click Retrieve Report. For each requested FDID, CAIS will return its status, masked								
⊡ Papartr									
teports 🕉									

3. Select a **Reporter CRD** for which you are currently entitled to submit data.

A Home	Report Management	
£	Submission Report Inconsistencies Report Download Feedback	FDID Reconciliation Report
Submissions	Please select a Reporter CRD and upload a new-line delimited text file containing up to 1,000	FDDs, then click Retrieve Report. For each requested FDID, CAIS will return its status, masked associated LTIDs and association status, count of associated customers, last accepted file name
Reports		

4. Upload a newline-delimited text file containing up to 1,000 FDIDs.

în.	Report Management	
1	Bubmission Report Inconsistencies Report Download Feedback FDID Reconciliation Report	
Submissions Reports	Pesse seeck 3 Reporter CRD and uppose a new-ine delimited text file containing up to 1,000 PDDs, then cick Retireve Report. For each requested PDD, CAS will return its status, masked associated LIDs and associated status, count of associated customers, last accepted file name and version, and Correspondent CRD (If applicable)	4
Uber	L Ding and drop fine here of leasure	
	C20,999999.ixt	11 Bytes 🗙

5. Select Retrieve Report.

CRD_99999999.ht	0 Bytes X
	RETRIEVE REPORT

6. The FDID Reconciliation Report results file will be generated and downloaded to your machine.

	FINCE COT	catrmsplan.com
FDID_1	econciliationcsv	Show all X

7. Once generated, open the file in Microsoft Excel or another compatible program.

Firm Designated ID	Correspondent CRD	FDID Status	Associated Customer Count	Last Accepted File Name	Version	Large Trader ID	LTID Status
884 fdid3 test		INACTIVE	(0 99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid2 test		INACTIVE	(0 99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid1 test		ACTIVE		1 99999999_999999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid6 test		ACTIVE		1 99999999 99999999 20240220 corCount CAIS 000002.json.bz2	FULL CAIS		

5. Rejections and Inconsistencies

The CAIS Portal allows users to review and manage rejected records and inconsistencies. This includes the ability to view a high-level summary, view rejection and inconsistency details and repair/resolve the errors.

5.1. Viewing Rejections

The CAIS Portal provides a breakdown of errors by FDID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view repaired rejections for the previous 10 calendar days, including the current date. A user may view unrepaired rejections until they are repaired.

To view record rejections for the organization:

1. Select Submissions.

CAIS Re	II:19:37 AM EST 2021-12-06 5733	Bob Smith 🛔 🚽
Anne Home	Welcome to the CAT Customer and Account Information System	
L Submissions	Maximum Allowable Error Rate: 5.00%	
147		

2. Select Rejections.

î Home	Submission N	Management					Reporter CRD	5723 REPORTING FIRM INC.	•
£	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections	Inconsistencies			

 The Account Rejections tab is displayed by default. Rejections that are Outstanding and Resolved are displayed in the table. The Account Rejections tab displays the full count of rejections by unique FDID. Each FDID may have more than one rejection. Users may access further details regarding FDID rejections by clicking the View icon or by selecting the Download button.



The table within the Account Rejections tab includes the following columns which the user may choose to display:

• FDID - The Firm Designated IDs that have repaired or unrepaired rejections.

- FDID Record ID The *fdidRecordID*, as submitted to CAIS, having the data validation error.
- Submission ID The unique identifier assigned to the CAIS Data File by CAT CAIS.
- Rejection ID Identifier assigned by CAT to uniquely identify a rejected record. Note: the page will display a maximum of 500 rejections per FDID.
- Error Code The error code of the data validation error.
- Error Identification Date The date that an error was identified by CAT CAIS.
- Error Repair Deadline Date Deadline for repairing the rejection.
- Status Update on repairs for rejections by unique FDID that are either Outstanding or Resolved.

File Subm	hission Manual Submission	Submission	in Progress	Completed Submiss	ions Rejections	Inconsistencies						
Accou	unt Rejections Customer Re	ections										
Show	v columns	~							C Refresh	± Downlos	ad 🗡 🎯 I	Display Sett
	FDID ¢	1	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	1	Error Repair Deadline	1	Status	1
							×	箘				×
0	1AD973		2000 2000 2000 2000	14976 14977 14978 14979	14975000000003 14977000000003 14978000000003 14979000000003	22048 22048 22048 22018	2023-07-28 22:13:10 EDT 2023-07-28 22:25:12 EDT 2023-07-28 22:38:11 EDT 2023-07-28 23:12:11 EDT		2023-08-02 17:00:00 EDT		⊘ Resolved	I
0	TESTACCOUNT332		4 4 4	13569 13569 13569 13565	1356900000000 1356900000007 1356900000008 1356500000005 1356500000005	22043 22043 22071 22043	2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 13:56:14 EDT		2023-07-25 17:00:00 EDT		A Outstand	ing (3)

4. To view error descriptions, hover over the error code value.



5. To view further details regarding each rejection, click the **View** icon.

File Submissi	ion Manual Submission Submi	ssion in Progress C	ompleted Submission	s Rejections	Inconsistencies					
Account F	Rejections Customer Rejections									
Show colo	umrs ~							C Refresh	A Download	V Display Set
FDI	e 0	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	- I.	Error Repair Deadline	1 8	atus I
						~	篇		篇	~
0 140	0973	2000 2000 2000 2000	14976 14977 14978 14979	1497600000003 1497700000003 1497800000003 1497900000003	22048 22048 22048 22018	2023-07-28 22:13:10 EDT 2023-07-28 22:25:12 EDT 2023-07-28 22:38:11 EDT 2023-07-28 23:12:11 EDT		2023-08-02 17:00:00 EDT		Resolved
• TES	STACCOUNT392	4 4 4	13569 13569 13569 13565	1356900000005 1356900000007 1356900000008 1356500000005	22843 22843 22871 22843	2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 13:56:14 EDT		2023-07-25 17:00:00 EDT		Outstanding (3)

6. The Rejections Detail screen for FDID rejections is displayed once the View icon is selected. This window provides historical records for each error per unique FDID that remains outstanding or has been repaired. The information displayed notes in particular the steps taken to repair FDID rejections overtime by the subsequent submissions following the original submission. The status of a rejection that is assigned to the unique FDID is based on the common error repair deadline date.

Home	0	Rejection Details	3							
£		0 To resolve this reje	ction, submit a full FDID record	d with all LTID and custo	mer associations via Man	ual Submission or File Submiss	<mark>sion</mark> in the CAIS Reporter Port	al UI, or via SFTP file submission. 🙁		
		CAT Reporter CRD			134					
Reports		Firm Designated ID			TESTACCOUNT332					
	-	🔶 Error Repair Deadlin	e		2023-07-25 17:00:00 E	DT				
		Status								
		Malformed Record	rd IDs							
		No errors found								
		Data Validation E	rrors							
		Rejection ID 🌻	Submitter ID 🗢	Submission ID 🗢	FDID Record ID \$	LTID Record ID 🌣	Error Code 🗢	Error Description	Error Identification Date	Status 👻
		Rejection ID	Submitter ID C	Submission ID ¢ 13569	FDID Record ID 4	LTID Record ID 🗢	Error Code	Error Description Missing or Invalid role	Error Identification Date 2023-07-20 14:51:16 EDT	Status 👻
		Rejection ID	Submitter ID	Submission ID 13569 13569	FDID Record ID 4 4	LTID Record ID 🇢	Error Code	Error Description Missing or Invalid role Missing or Invalid role	Error Identification Date P 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT	Status - Outstanding
		Rejection ID ● 13569000000006 13569000000007 13569000000008 1356900000008	Submitter ID Image: Control of the state of	Submission ID Submission ID	I FDID Record ID Φ 4 4 4 4 4 4	LTID Record ID 🗢	Error Code	Error Description Missing or Invalid role Missing or Invalid role No customer association with trading capabilities	Envir Identification Date Control 2028-07-20 14:51:16 EOT 2028-07-20 14:51:16 EOT 2028-07-20 14:51:16 EOT 2028-07-20 14:51:16 EOT	Status - Cottsanding Cottsanding Cottsanding
		Rejection ID • 1356900000006 1356900000007 13569000000007 1356900000000 135650000000005 13565000000005	Submitter ID I 134 134 134 134 134 134 134 134	Submission ID 13569 13569 13569 13569 13569 13569	FDID Record ID C 4 4 4 4 4 4 4 4	UTID Record ID •	Emor Code I 22043 22043 22043 22071 22071 22043	Error Deverytion Missing or Invalid role Missing or Invalid role No custome association with trading capabilities Missing or Invalid role	Emer Identification Date 0 2023-07-20 14.51.16 EDT 2023-07-20 14.51.16 EDT 2023-07-20 14.51.16 EDT 2023-07-20 14.51.16 EDT 2023-07-20 13.51.16 EDT 2023-07-20 13.51.16 EDT	Status +
		Rejection ID • 1356900000006 1356900000007 1356900000007 1356900000008 13565000000005 1356500000005	Submitter ID I 134 134 134 134 134 134 134 134 134 134 134 134	Submission ID Submission ID	FDID Record ID Control 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	I LTID Record ID •	Emor Code I 22043 22043 22071 22071 22043 22071	Error Description Missing or Invalid role Missing or Invalid role Missing or Invalid role Missing or Invalid role No customer association with trading capabilities	Emre Identification Date Image: Comparison Dat	Statur - Contransing Contrantsing Contran
		Rejection ID Image: Control of Contro	Submitter 10 • I 134 - 134 - 134 - 134 - 134 - 134 - 134 - 134 - 134 - 134 - 134 -	Submission ID	FDID Record ID P 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	I LTID Record ID +	Error Code I 22043 22043 22043 22071 22043 22071 22071 22043 22043 22043	Error Description Missing or Invalid role Missing or Invalid role No customer association with fracing capabilities Missing or Invalid role Missing or Invalid role Missing or Invalid role	Enrur Identification Date Image: Comparison Da	State - Cottanding Cottanding Co

7. To download FDID Record rejections, click the **Download** button. If filters have been applied to the download, only the FDIDs meeting the specified criteria are downloaded.

	Submission Management							Reporter CRD	
±.	File Submission Manual Submission Sul	bmission in Progress	Completed Submissions	Rejections	Inconsistencies				
emissions I 🚜	Account Rejections Customer Rejections								
Reports	Show columns V							© Refresh ▲ Download ✓	Display Settings
User	FDID ¢	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadlin	Status	1
						· .	8	8	~
	140973	2000 2000 2000 2000	14976 14977 14978 14979	1497600000003 1497700000003 1497800000003 1497900000003	22048 22048 22048 22018	2023-07-28 22:13:10 EDT 2023-07-28 22:25:12 EDT 2023-07-28 22:38:11 EDT 2023-07-28 23:12:11 EDT	2023-08-02 17:00:00	EDT 🥥 🖿	solved
	TESTADCOUNT332	4 4 4 4	13569 13569 13565 13565 13565	1356900000000 1356900000007 1356900000008 1356500000006 1356500000006 Show 3 more	22048 22043 22043 22043 22043	2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 13:56:14 EDT 2023-07-20 13:56:14 EDT	2023-07-25 17:00:00	EDT 🛕 O	utstanding (3)
	 TESTACCOUNT732 	1 1	13569 13565 13568	13569000000010 13565000000007 135680000000010	22048 22007 22048	2023-07-20 14:51:16 EDT 2023-07-20 13:56:14 EDT 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00	EDT 🛕 O	utstanding (1)
	UAT123456DEGABRIS	4 4 4	13347 13347 13346 13346	13347000000000 13347000000001 1334600000000 13346000000001	22043 22071 22043 22071	2023-06-13 11:51:12 EDT 2023-06-13 11:51:12 EDT 2023-06-13 11:47:13 EDT 2023-06-13 11:47:13 EDT	2023-06-16 17:00:00	EDT 🛕 O	utstanding (2)

8. When downloading Account rejections, each error, Outstanding or Resolved, will be broken out onto separate line items that include submissions from a historical point of view by unique FDID. The download provides a full lifecycle of rejections against the FDID. Thus, each row represents a unique Rejection ID per FDID which includes the trailing error repair deadline date. The granularity of the data that is exported may show a higher count of rejections than what is displayed on the Account Rejections tab.

1	Fdid	Fdid R 🔻	Submi 🔻	Rejection Id	▼ Error Co ▼	Error Identification Date -	Error Repair Deadline 🛛 💌	Status 🖃
2	TESTACCOUNT332	4	13569	13569000000	06 22043	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
3	TESTACCOUNT332	4	13569	135690000000	07 22043	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
4	TESTACCOUNT332	4	13569	13569000000	08 22071	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
5	TESTACCOUNT332	4	13565	135650000000	05 22043	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
6	TESTACCOUNT332	4	13565	13565000000	06 22071	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
7	TESTACCOUNT332	4	13568	13568000000	06 22043	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
8	TESTACCOUNT332	4	13568	13568000000	07 22043	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
9	TESTACCOUNT332	4	13568	13568000000	08 22071	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
10								

9. To view Customer Record rejections, click the **Customer Rejections** tab.

A Home	Submission N	lanagement					Reporter CRD	5723 REPORTING FIRM INC.	•
£	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections	Inconsistencies			
Submissions	Account Rejectio	ns Customer Reject	ions						
Reports									

10. Outstanding and repaired rejections are displayed in the table by Customer Rejection Event ID, which is a unique identifier assigned by CAT for the Customer. If the Customer has multiple rejections, all rejections will be grouped by the Customer Rejection Event ID. The table includes the following details:

- Customer Rejection Event ID Unique Identifier assigned by CAT for the specific Customer.
- Rejection ID Identifier assigned by CAT to uniquely identify a rejected record. Note: the page will display a limit of 500 rejections per Customer.
- Submission ID The unique identifier assigned to the CAIS Data File by CAT CAIS.
- Customer Record ID The *customerRecordID*, as submitted to CAIS, of the record having the rejection.
- Error Code The error code of the data validation error.
- Error Identification Date The date that an error was identified by CAT CAIS.
- Error Repair Deadline Deadline for repairing the rejection.
- Status Update on repairs for rejections by unique Customer that are either Outstanding or Resolved.

home	Su	bmis	sion Man	agement											Reporter CRD		•
£	Fi	ile Subr	nission Mar	nual Submission Submission in	Progress	Completed Subm	iission	s Rejectio	ons	Inconsistencies							
Submissions		Acco	unt Rejections	Customer Rejections													
Reports		Show	v columns	~											C Refresh 🔺 Download	~ 0	Display Settings
Ser User			Customer Rejection I	Event ID 🕈	Т	Rejection ID	Т	Submission ID	I	Customer Record ID	Error Code	Т	Error Identification Date	1	Error Repair Deadline 🗢	I	Status
												~					
		0	13128\$4#134#NULL	#2023-07-20117:55:21.614000+00:00		1356900000000 1356900000001 1356900000002 1356900000003 1356900000004 Show 12 more		13569 13569 13569 13569 13569		1,3,6 1,6 1,3,6 1,4 4	22514 22504 22516 22524 22520		2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT		2023-07-25 17:00:00 EDT		A Outstanding
		0	14974\$40#134#NUL	L#2023-07-29T02:12:17.135000+00:00		1497600000002 14977000000000 14978000000002 14979000000000		14976 14977 14978 14979		40 40 40 40	22523 22523 22523 22523 22523		2023-07-28 22:13:09 EDT 2023-07-28 22:25:12 EDT 2023-07-28 22:38:11 EDT 2023-07-28 23:12:10 EDT		2023-08-02 17:00:00 EDT		Resolved
		0	14977\$41#134#NUL	L#2023-07-29T02:12:17.135000+00:00		1497600000001 1497700000002 14978000000001 14979000000002		14976 14977 14978 14979		41 41 41 41	22510 22510 22510 22510 22510		2023-07-28 22:13:09 EDT 2023-07-28 22:25:12 EDT 2023-07-28 22:38:11 EDT 2023-07-28 23:12:10 EDT		2023-08-02 17:00:00 EDT		⊘ Resolved

11. To view error descriptions, hover over the error code value.



12. To view further details regarding each rejection, click the **View** icon.

File Su	ubmission Man	ual Submission Submission	in Progress	Completed Sub	mission	s Rejecti	ions	Inconsistencies							
Acc	count Rejections	Customer Rejections					-								
\$	how columns	۲.											© Refresh 🔺 Download	~ 0	Display Settin
	Customer Rejection E	ent 10 0	1	Rejection ID	1	Submission ID	1	Customer Record ID	Error Code	- 1	Error identification Date	1	Error Repair Deadline	1	Status
										×		R			
	 131285441344NULLI 	2823-07-20717-55-21-61-4000-40-00		13569000000000 13569000000001 135690000000002 135690000000003		13569 13569 13569		136 15 136	22514 22504 22516 22516		2023-07-20 14:01 16 EDT 2023-07-20 14:01 16 EDT 2023-07-20 14:01 16 EDT 2023-07-20 14:01 16 EDT		2023-07-25 17:50:00 EDT		A Dutst

13. The Rejections Details screen for Customer rejections is displayed once the View icon is selected. This window provides historical records for each error per Customer Rejection Event ID that remains outstanding or has been repaired. The information displayed notes in particular the steps taken to repair Customer rejections overtime by the subsequent submissions following the original submission. The status of a rejection that is assigned to the Customer Rejection Event ID is based on the common error repair deadline date.

niciare		Rejection Detail:	s								
tome 1 missions											
missions		 To resolve this re 	jection,	submit a full FDID record v	with all LTID and customer a	ssociations via Manual Submission	or <u>File Submission</u> in the C	AIS Reporter Portal UI, or via SFTP file submission. 🛞			
~		CAT Reporter CRD				134					
orts		Customer Rejection	n Event	ID		13128\$4#134#NULL#2023	-07-20T17:55:21.614000-	+00:00			
₽ ≈r		Firm Designated ID	•								
	-	🔶 Error Repair Deadli	ine			2023-07-25 17:00:00 EDT					
		Status				A Outstanding					
		Malformed Reco	ord ID	Is							
		No errors found									
		Data Validation	Errors	5							
		Rejection ID ©	I.	Submitter ID 🌻 📕	Submission ID 🌻	Customer Record ID	Error Code •	Error Description	Error Identification Date	Status -	
		Rejection ID	I	Submitter ID •	Submission ID	Customer Record ID	Error Code	Error Description	Error Identification Date	Status - I	
		Rejection ID	I	Submitter ID	Submission ID	Customer Record ID	Emor Code	Error Description I Missing ADDRESST type Address Record Missing or Invalid Termat of ein	Emor Identification Date	Status - I	
		Rejection ID	I	Submitter ID	Submission ID	Customer Record ID 1.3,6 1,6 1.3,6	Emor Code	Entro Description I Missing ADDRESSI type Address Record Missing or Insulf format of ein Missing or Insulf add/Type	Error Identification Date	Status ~ I	
		Rejection ID Image: Comparison of the second s	I	Submitter ID	Submission ID	Customer Record ID [1.3.6 1.6 1.3.6 1.4	Emor Code	Error Description I Missing ADDREDS1 type Address Record Missing or Insulid format of ein Missing or Insulid add/Type Missing or Insulid customeType	Emri Mettification Date	Status • 1 A Outstanding A Outstanding A Outstanding A Outstanding	
		Rejection ID © 1354000000000 1 13540000000001 1 1354000000002 1 13540000000002 1 13540000000003 1 13540000000004 1	1	Submitter ID	Submission ID	Customer Record 10 [13.8 13.6 13.6 14 4	Emor Code	Error Description I Missing ADD4511 type Address Record Missing or Insulie format of en Missing or Insulie dubtType Missing or Insulie customeType Missing or Insulie customeType	Encor Identification Date I 2022-07-20 14-51:16 EDT 2022-07-20 14-51:16 EDT 2022-07-20 14-51:16 EDT 2022-07-20 14-51:16 EDT 2022-07-20 14-51:16 EDT 2022-07-20 14-51:16 EDT	Status • I Otsmanning Outsmanning Outsmanning Outsmanning Outsmanning Outsmanning	
		Rejection ID P 1564000000000 1 135640000000001 1 135640000000001 1 135640000000001 1 135640000000001 1 135640000000001 1 135640000000001 1 135640000000001 1	1	Submitter ID	Submission D I 13569 I	Customer Record ID I 13.04	Emer Code I 22514 - 22514 - 22514 - 22514 - 22524 - 22520 - 22530 -	Error Description I Musing 4004501 type Address Record Musing or Insulia format of en Musing or Insulia dustifiyne Musing or Insulia customeType Musing or Insulia customeType Musing or Insulia customet with differing data	Encor Identification Date I 2022-07-20 14-51:6 EDT 2022-07-20 14-51:6 EDT	bital - I ▲ Orandeg ▲ Detendeg ▲ Detendeg ▲ Detendeg ▲ Detendeg ▲ Detendeg	
		Rejection ID P 13549000000001 13549000000001 13549000000002 13549000000002 13549000000004 1354900000004 1354900000005 1354900000005	1	Submitter ID	Submission 10 0 1 13569 - - 13569 - - 13569 - - 13569 - - 13569 - - 13569 - - 13569 - - 13569 - -	Customer Record 10 I 13.8 1 13.4 1 13.4 1 14.4 1 13.4,6 1	Emer Code I 22514 - 22504 - 22516 - 22520 - 22533 - 22524 -	Entro Prescription II Maxing 40268211 type Address Record	Encor detertification Date 0 1 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT 2022-07-20 H-S114 EDT	Data - I ▲ Describer ▲ Describer ▲ Describer ▲ Describer ▲ Describer ● Describer ● Describer	

14. To download Customer Record rejections, click the **Download** button. If filters have been applied to the download, only the Customer Records meeting the specified criteria are exported.

Submission Management			0				Reporter CRD	1	
File Submission Manual Submission Submission in Pro	gress Completed Subm	issions Rejections	Inconsistencies						
Account Rejections Customer Rejections									
Show columns							C Refresh	ad 🗸 🛛	Display Setting
Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	1	Error Repair Deadline 🗢	_	Status
				~		m			
	1356900000000 13569000000001	13569	1,3,6	22514	2023-07-20 14:51:16 EDT				
1312854#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000002	13569	1,3,6	22516	2023-07-20 14:51:16 EDT		2023-07-25 17:00:00 EDT		A Outsta
	1356900000004 Show 12 more	13569 13569	1,4 4	22524 22520	2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT				
	1497600000002	14976	40	22523	2023-07-28 22:13:09 EDT				
	14977000000000	14977	40	22523	2023-07-28 22:25:12 EDT		2023-08-02 17:00:00 EDT		@ Resolv
4974\$40#134#NULL#2023-07-29T02:12:17.135000+00:00					THE REPORT OF THE PARTY OF THE				

When downloading Customer rejections, each error, Outstanding or Resolved, will be broken out
onto separate line items that include submissions from a historical point of view by Customer
Rejection Event ID. The download provides a full lifecycle of rejections against the unique Customer.
Thus, each row represents a unique Rejection ID per Customer which includes the trailing error
repair deadline date. The granularity of the data that is exported may show a higher count of
rejections than what is displayed on the Customer Rejections tab

1	Customer Rejection Event ID	Rejection ID 💌	Submission ID 💌	Customer Record ID 💌	Error Code 💌	Error Identification Date -	Error Repair Deadline	Status 🚽
2	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	13569000000000	13569	[1, 3, 6]	22514	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
3	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000001	13569	[1, 6]	22504	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
4	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000002	13569	[1, 3, 6]	22516	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
5	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000003	13569	[1, 4]	22524	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
6	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000004	13569	[4]	22520	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
7	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000005	13569	[1, 3, 4, 6]	22533	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
8	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	13565000000000	13565	[4]	22524	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
9	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	13565000000001	13565	[3]	22521	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
10	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000002	13565	[1]	22514	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
11	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000003	13565	[1]	22516	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
12	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000004	13565	[6]	22529	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
13	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000	13568	[6]	22514	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
14	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000001	13568	[6]	22504	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
15	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000002	13568	[6]	22516	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
16	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000003	13568	[4]	22520	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
17	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000004	13568	[1]	22524	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
18	13128\$4#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000005	13568	[1, 3, 4, 6]	22533	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED

5.2. Rejection Repair

The CAIS Portal provides entitled users with the ability to repair rejected records submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Portal. Repairs may be made through file posting to the SFTP, file upload within the CAIS Portal (see Section 6.1), or manual submission within the CAIS Portal (see Section 6.2).

Because data submitted to CAIS cannot be returned to the Industry Member submitting the data, rejection repair via manual submission requires resubmitting the FDID Record in its current state (with all LTID and Customer associations), with corrected data.

5.3. Viewing Inconsistencies

The CAIS Portal provides a breakdown of inconsistencies by Inconsistency Event ID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal.

To view Customer Record inconsistencies for the organization:

1. Select Submissions.

unt Information System	Welcom	Â
		Home
		Lubmissions

Â	Submission N	Vanagement				Rep	oorter CRD	1234 REPORTING FIRM INC.	
Home	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections	Inconsistencies			

 A table of Inconsistencies is displayed. The default view will reflect a Status of either Outstanding or Resolved based on the Event ID. The Event ID is a system generated identifier for the unique Customer. A user may view resolved inconsistencies for the previous 10 calendar days, including the current date.

A Home	Su	bmission Managen	nent									Reporter CRD	99999999 CAT Test Firm	•
£	1	ile Submission Manual Sub	bmission Submissions in Progress Completed Submissions	Rej	ections	Inconsistencies								
<u>له</u>		Show columns	v							E Download Fe	edback	C Refresh 🔺 Downlo	ad 🗸 🛞 Display Set	ttings
Reports		Event ID 🕈	Last Accepted File Name 🗢	1	Submission D	ate 🗢 🛛 🗌	Customer Record ID +	Inconsistency Code 🗢	1	Identification Date 🗢	1	Repair Deadline 🗘	Status 🕈	
User									~		曲	8	8	`
		17351680#99999999#NULL#2024-04- 03#40004	99999999,99999999,20240402_vYB8_CAIS_360072.json.bz2		2024-04-02 17	:15:27 EDT	0	40004		2024-04-03 13:10:10 EDT		2024-04-05 17:00:00 EDT	A Outstanding	
		172614\$0#99999999#283942#2024- 04-03#40002	99999999,99999999,20240402_C7qCFR_CAIS_735172.json.bz2		2024-04-02 16	:37:12 EDT	0	40002		2024-04-03 13:10:10 EDT		2024-04-05 17:00:00 EDT	A Outstanding	
		172621504999999994283942#2024- 04-03#40002	99999999_99999999_20240402_149_CAIS_642641 json.btt2		2024-04-02 16	:09:25 EDT	0	40002		2024-04-03 13:10:10 EDT		2024-04-05 17:00:00 EDT	A Outstanding	

4. The layout for the data displayed can be modified through the dropdown feature under **Show columns**.

F	le Submission Manual Submission	Submission	ns in Progress	Completed	I Submissions	Rejections	Inconsistencies							
ſ	Show columns	2									Download Feedback Ø Refresh	A Download	V Display Settings	
	Submitter ID	• •	Inconsistency Code	• I	Identification Date	1	Repair Deadline 🏼	1	Status ©	1	Last Accepted File Name ©	1	Submission Date ©	
	Customer Record ID Inconsistency Code			~				=		~				
	Type		40004		2024-04-03 13:10:10 8	EDT	2024-04-05 17:00:00 EI	т	A Outstanding		99999999,99999999,20240402_vYB8_CAIS_360372.json.bz2		2024-04-02 17:15:27 EDT	
1	Centrication Date													

- 5. Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.
 - Last Accepted File Name Name of the most recent CAIS Data File in which a Material

Inconsistency was identified for a Customer Record.

- Submission Date Date that the Last Accepted File Name was submitted by or on behalf of the Industry Member to CAT CAIS.
- Submission ID The unique identifier assigned to the CAIS Data File by CAT CAIS.
- Submitter ID Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- Customer Record ID The *customerRecordID*, as submitted to CAIS, of the record having the inconsistency.
- Inconsistency Code The Inconsistency Code of the identified inconsistency on the Customer Record.
- Type Refers to one of two types of inconsistency feedback generated for the Customer Record.
 - INTRAFIRM An inconsistency was identified across multiple submission files of a single Industry Member.
 - INTERFIRM An inconsistency was identified across submission files of multiple Industry Members.
- Identification Date Date the Inconsistency was identified.
- Repair Deadline Deadline for resolving the Inconsistency.
- Status Update on resolution for Inconsistencies that are either outstanding or resolved.

Submission Manag	gement						Reporter CRD
File Submission Manua	al Submission Submiss	ions in Progress Comple	ted Submissions Rejectio	ns Inconsistencies			
Show columns	~						Download Feedback 2 Refresh Download Oneplay Settings
Event ID 🍳 📕	Submission Date 🌣	Customer Record ID 🌣	Inconsistency Code 🌣	Identification Date 🍳 📕	Repair Deadline 🌣	Status 🕈 🔰	Type Last Accepted File Name
	1		×	1	1	~	· ·
9937853#134#NULL#2024-01- 23#40004	2024-01-22 13:25:10 EST	2	40004	2024-01-23 13:43:31 EST	2024-01-25 17:00:00 EST	Outstanding	NTERFIRM _20240122_CustType2nd_CAI6_000003 json.bc2
9934553#134#NULL#2024-01- 24#30004	2024-01-23 09-22-52 EST	2	30004	2024-01-24 13:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	NTRAFIRM _20240123_CustType2nd_CAI0_000012 json.bz2
14974540#134#999999999#2024- 01-24#40002	2024-01-23 18:21:00 EST	40	40002	2024-01-24 13:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTERFIRM 20240123_InterV08firmC, CAIS_00004 json.bz2

6. To view inconsistency descriptions, hover over the inconsistency code value.

Submission Mana	igement														Reporter CRD
File Submission Man	ual Submission	Submissio	ns in Progress	Complete	d Submissions	Rejection	s Inconsistencies								
Show columns	,	×]													Download Feedback C Refresh
Event ID 0	Submission Date 🍳	I.	Customer Record ID	• 1	Inconsistency Code	L.	Identification Date	- J	Repair Deadline 🗢	1	Status ¢	J.	Type ©	I,	Last Accepted File Name 🌣
		-				~						~		~	
00378\$3#134#NULL#2024-01- 23#40004	2024-01-22 13:25:10 EST		2	reign TID reporte stural Person and thin the Industry I	d as both Legal Entity Member		2024-01-25 13:43:31 EST		2024-01-25 17:00:00 EST		A Outstanding		INTERFIR	4	20240122, DustType2nd, CAVS, 000003 json. bz2
9934553#134#NULL#2024-01- 24#30004	2024-01-23 09:22:52 EST		2		30004		2024-01-24 13:10:33 EST		2024-01-26 17:00:00 EST		A Outstanding		INTRAFIR	и	20240123_CustType2nd_CAI5_000012_json.bz2

7. Optionally, users can retrieve Outstanding Material Inconsistency Feedback Files directly from the Download Feedback tab.

â	Submission	Management											Re	porter CRD	134 CANTO	R ATZGERALD & CO.
±.	File Submission	Manual Submission	Submissions in Progress	Completed Submissions	Rejections	Inconsistencies										
Submusions											- 1					
12	Show columns		~									= Download	Feedback Q Refresh	A Dow	nioad 👻	Display Settings
Reports	Event ID 0	Last Accepted File	Name 0		Submissio	n Date 🌣 🛛 🛔	Customer Record ID ©	1	Inconsistency Code 0	1	Identification Date ©	1	Repair Deadline 0	1	Status 0	1
User										v						v

5.4. Material Inconsistency Resolution

The CAIS Portal provides entitled users with the ability to resolve Inconsistencies submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Portal. Resolutions may be made through file posting to the SFTP, file upload within the CAIS Portal (see <u>Section 6.1</u>), or manual submission within the CAIS Portal (see <u>Section 6.1</u>).

Because data submitted to CAIS cannot be returned to the Industry Member submitting the data, inconsistency resolution via manual submission requires resubmitting the FDID Record in its current state (with all LTID and Customer associations), with the Update Notification field populated with 'Yes'. See <u>Section 6.2</u> for more information.

6. Report to CAIS

Note: All names, addresses and identifiers data used for examples in the Customer and Account information reports are purely fictional and for illustrative purposes only. Any resemblance to actual persons, organizations or locations is purely coincidental. All Transformed Identifiers ("TIDs") included in the examples for Social Security Numbers, Individual Taxpayer Identification Numbers or Employer Identification Numbers are generated from values that are outside of the acceptable range of assignment by the assigning body and would fail CAT data validations if actually reported to CAIS.

6.1. Upload Data to CAIS

Files uploaded to CAT via the CAIS Portal are processed in three distinct phases:



6.1.1. File Processing

1. File Acknowledgment

Prior to uploading files via the CAIS Portal, CAIS validates the file requirements:

- Maximum of 5 file pairs per submission.
- CAIS Data Files must be uploaded with their corresponding Identifiers (TIDs) Files.
- Individual files are limited to 100,000 FDID Records and 100,000 Customer Records, as well as a maximum uncompressed size of 1GB.
- Files must be in .json format.
- Files must be compressed using BZip2.

File names must use the following format:
 <CAT Submitter ID>_<CAT Reporter CRD>_<File Generation Date>_[<Group>_]<File
 Kind>_<File Number>.<Format Extension>.<Compression Extension>

Failure to meet the specified requirements prevents the user from uploading the file via the CAIS Portal. Once a file is successfully uploaded, the file is processed through the following stages, with feedback being provided via the CAIS Portal at each stage. See <u>Section 6.3</u> below for details on retrieving feedback via the CAIS Portal.

2. File Integrity

After the file has been uploaded via the CAIS Portal, CAIS performs additional file-level validations. Failure to meet specified requirements results in the rejection of the file. See **Appendix B** in the Customer & Account Technical Specifications for Industry Members for a comprehensive list of file integrity validations.

3. Data Ingestion

For each file that passes file integrity validations, CAIS performs record-level validations. Failure to meet the specified requirements results in the rejection of the record. See **Appendix B** in the Customer & Account Technical Specifications for Industry Members for a comprehensive list of data ingestion validations.

6.1.2. Upload CAIS Data and TIDs Files

Entitled users may provide CAIS data via the CAIS Portal by manually uploading CAIS Data and Transformed Identifiers ("TIDs") files. The following information provides details on how to upload and submit files via the CAIS Portal. For details on the expected format and content of the files, see the Customer & Account Technical Specifications for Industry Members..

A single submission may not exceed five paired file sets or 1GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To upload one or more CAIS Data and TIDs file sets:

1. Select **Submissions**.

CAIS Re	Porter Portal 11:1937 AM EST 2021-12-00	Bob Smith ST23 REPORTING FIRM INC.
	Welcome to the CAT Customer and Account Information System	
Submissions	Maximum Allowable Error Rate: 5.00%	
1~		

- 2. The File Submission tab is displayed by default.
- 3. Drag-and-drop or use the browse functionality to select the desired file set(s).

Rome	Submission Management	Reporter CRD
£	File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies	
Submissions	Submission Record for: CAT Submitter ID: Reporter CRD:	RESET
Reports	Drag and drap	Resources
¥ User	CAIS Data Files & Transformed Identifiers Files	CAIS Reporter User Guide CAIS Technical Specification
	here or browse	
	Cutome and Account Data files will be routed to the CAIS Data Subsystem for processing, while the Transformed Identifiers files will be routed to the CCOD Subsystem for processing.	File Requirements Maximum of 5 file pairs per submission
		- CAIS Data Files must be uploaded with their corresponding identifiers (TIDs) Files
	2024/134_EV/Http://dls_00008.jon.hz2 633 B/Htts: x	 - Individual files are limited to 100,000 FDID records and 100,000 customer records, as well as a maximum uncompressed size of 168

4. When all desired file sets have been selected, or when the upload limit has been reached, click **Submit.**

A Home	Submission Management	Reporter CRD . *
£ Submissions	File Submission Manual Submissions Submissions in Progress Completed Submissions Rejections Inconsistencies	
Reports	Summission record for: Cul Summitter IX: Paperte Cu.	Resources CAS Reporter Use Golde CAS technic Specification
	here or broase Customer and Account Data files will be manded to the CAS Data Subsystem for processing, while the Thereformed Identifiers files will be manded to the CCOD Subsystem for processing.	File Requirements - Maximum of 5 flip pairs per submission - Chair mum be included an life that management for Manuface (TRN) Files
	2014/0134_BNinter_CM45_00008[pontac2 633 8/nter x	Individual files are limited to 100,000 FDID records and 100,000 customer records, as well as a maximum uncompressed size of 168

Once the files are successfully uploaded to the separate subsystems, each file goes through file integrity validation and data validation. Users may access any feedback via the Download Submission Feedback File functionality (see Section 6.3).

6.2. Manually Report Data to CAIS

Entitled users may provide CAIS data via the CAIS Portal by manually reporting individual FDID, CAT Customer and LTID records. The following information provides details on how to manually submit data to CAIS via the CAIS Portal.

Manual Submission includes the following:

- Entering data for the FDID Record.
- Adding one or more LTID/ULTID associations, if applicable.
- Adding one or more CAT Customer associations.

For more information on the reporting requirements for FDID, CAT Customer and LTID records, see the Customer & Account Technical Specifications for Industry Members.

To manually submit records:

1. Select Submissions.

CAIS Re	International System Bob Smith 2021-12-08 5231	4 -
A Home	Welcome to the CAT Customer and Account Information System	
Submissions	Maximum Allowable Error Rate: 5.00%	
1.47		

2. Select Manual Submission.

Rome	Submission M	lanagement							Reporter CRD		. •
£	File Submission	Manual Submission	Submissions in Progress	Completed Submissions	Rejections	Inconsistencies					
Submissions									_	_	

3. If applicable, select a **Correspondent CRD.** The Correspondent CRD selected is applied to all FDID and Customer records within the manual submission set. It must only be selected by clearing firms with introducing brokers or correspondents and only when reporting Accounts to CAIS that are custodied for their introducing brokers/correspondents, including DVP/RVP accounts. For Accounts which are not correspondent Accounts, Correspondent CRD must not be selected.



To submit an <u>FDID</u> Record:

1. Enter a value for each applicable field in the **FDID Record** section. Fields marked with an asterisk (*) are required.

* Firm Designated ID:		DVP Custodian ID:	
Enter up to 40 characters	?	Enter one or more	(?)
* FDID Type:		Clearing Broker ID:	
Select 🗸	?	Enter one or more	(?)
* Account Type:		Branch Office CRD:	
Select one or more	?	Enter one	0
* Account Name:		Registered Representative CRD:	
Enter up to 200 characters	(?)	Enter one or more	0
* FDID Date:		FDID End Date:	
YYYYMMDD 🔋 🕐		YYYYMMDD 🛎 🔞	
		FDID End Reason:	
		Select an End Date	?
		Received from another firm?	
		Yes 🕜	

- a. Firm Designated ID: Enter the Firm Designated ID associated with the Account, Relationship or Entity ID.
- b. FDID Type: Select either Account, Relationship, or Entity ID, depending on the Firm Designated ID type.
- c. Account Type: Select one or more Account Type values(s) for the FDID.
- d. Account Name: Enter up to 200 characters for the FDID's Account Name.
- e. **FDID Date**: Enter the date on which the account was opened, or the Account Effective Date, as defined in Section 1.1 of the CAT NMS Plan.
- f. **DVP Custodian ID**: If applicable, enter one or more DVP Custodian ID(s) for the FDID separated by commas.
- g. Clearing Broker ID: If applicable, enter one or more Clearing Broker ID(s) for the FDID separated by commas.
- h. **Branch Office CRD**: If applicable, enter the Branch Office CRD number for the FDID's branch office, if different than the main office.
- i. **Registered Representative CRD**: Optionally enter one or more CRD numbers for the Registered Representative(s) for the FDID separated by commas.
- j. **FDID End Date**: If applicable, enter the date on which the account or relationship was ended. This field is required if there is an End Reason applied.
- k. **FDID End Reason**: If applicable, select the reason for which the Account or Relationship was ended. This field is required if there is an End Date applied.
- I. **Replaced By FDID**: If "Replaced" is selected as the End Reason, enter the FDID which is replacing the FDID in question.
- m. **Received from another firm?**: Check this box if the FDID is being transferred to your firm via the Mass Transfer Process. When selected, also provide:
 - o Prior CAT Reporter CRD: Enter the CRD from which the FDID was transferred.
 - Prior CAT Reporter FDID: Enter the FDID which the account was known by at the Transferring Industry Member (Prior CAT Reporter CRD).

2. Enter a value for each applicable field in the **Address** section. Up to four total Address Records may be provided for the FDID..

Address					
* Address Type: ADDRESS1 * City:					
	Enter up to 100 characters				
* Address Line 1:	* Country Code:				
Enter up to 40 characters	United States (US)		~		
Add Address Line	* Region Code:				
	Select	~	0		
	* Postal Code:				
	99999		୭		

 If applicable, click Add Authorized Trader Names List. For the limited circumstances when this is applicable, see the Special Rules Regarding Natural Person Authorized Traders section in the Customer & Account Technical Specifications for Industry Members.

ADD ADDRESS	
Authorized Trader Names (optional)	
Authorized Trader Names List (7) C Add Authorized Trader Name	

4. Click Add to Submission.



- 5. To add a new LTID/ULTID association to the submission:
 - 5.1 Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.
 - 5.2 Select Large Trader ID from the dropdown.

5.3 Enter a value for each applicable field in the LTID Association section.

A lone	Submission Management		Reporter CRD
<u>1</u>	File Submission Manual Submission Submissions in Progress	Completed Submissions Rejections Inconsistencies	
Neports	Submission Record for: CAT Submitter ID: Reporter CRD	Correspondent CRD: Send a Consequent CD *	RESET
User	TESTACCOUNT7777 New LTID Association		X Cancel 400
		LTD Association	
		* Large Trader ID:	
		Enter an 8- or 13-character LTID or ULTID	
		tetective Date	
		End Date:	
		(YYYYMDD 🔋 💿	
		End Reason:	
		Select an End Date 👻 🕐	

- a. Large Trader ID: Enter the Large Trader ID/Unidentified Large Trader ID associated with the FDID.
- b. **Effective Date**: Enter the date on which the LTID/ULTID became associated to the FDID within the Industry Member's system.
- c. **End Date**: If applicable, enter the date on which the association was ended. This field is required if there is an End Reason applied.
- d. **End Reason**: If applicable, select the reason for which the association was ended. This field is required if there is an End Date applied.
- 5.4 Once the appropriate fields have been populated for the LTID/ULTID, click the **Add** button to add the data to the submission file.
 - If one or more additional LTIDs/ULTIDs need to be <u>added</u>, repeat the above process for each LTID/ULTID association.
 - If this association needs to be <u>modified</u> after this step, click the LTID in the FDID Record Associations section, then make the appropriate modifications.
 - If this association needs to be <u>removed</u> after this step, click the LTID in the FDID Record Associations section, then click the **Remove** button.
- 6. To add a Natural Person Customer record to the submission:
 - 6.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

6.2. Select Natural Person from the dropdown.

î î	Submission Management		Reporter CRD
£	File Submission Manual Submission Submissions in Progress	Completed Submissions Rejections Inconsistencies	
Submissions	Submission Record for: CAT Submitter ID: Reporter CRD:	Correspondent CRD: Select a Correspondent CRD	RESET
Reports	ADD ASSOCIATION Y		
\$≩ User	Large Trader 1132-3459 Natural Person		UPDATE
	Legal Entity	FDID Record	

6.3. Enter a value for each applicable field in the **Customer Association** section.

Customer Association (Natural Person)				
* Customer Record ID:		* Role Start Date:		
1	0	20220112	D	
* Role:		Role End Date:		
AUTHREP × V	0	YYYYMMDD 🛍 🤕	D	
* Has Discretion:		Role End Reason:		
Yes No No		Select an End Date	~	0

- a. Customer Record ID: A default Customer Record ID is automatically provided for each Customer association or enter a unique Customer Record ID value for the associated Customer Record.
- b. Role: Select one Role value for the associated Customer Record.
- c. Has Discretion: If required due to the Role being "AUTHREP" or "AUTH3RD", select either 'Yes' or 'No' to indicate whether the associated customer has trading discretion as defined in the Customer & Account Technical Specifications for Industry Members.
- d. **Role Start Date**: Enter a value in the format of *YYYYMMDD* or select a date using the date picker.
- e. **Role End Date**: If reporting a Customer association that has been ended, enter a value in the format of *YYYYMDD* or select a date using the date picker.
- f. **Role End Reason**: If reporting a Customer association that has been ended, select one End Reason value.
- 6.4. Enter a value for each applicable field in the Customer Record section.

Customer Record	
* First name:	* Customer Type:
John	CP (2)
Middle name:	EMPLOYEE
Enter up to 20 characters	* Year of Birth:
* Last name:	1984
Smith	Update Notification:
Suffix:	Yes 🕐
Select × v	
Doing Business As:	
Enter up to 200 characters	

- a. First Name: Enter the First Name known for the Customer Record.
- b. Middle Name: Optionally enter the Middle Name or Initial known for the Customer Record.
- c. Last Name: Enter the Last Name known for the Customer Record.
- d. Suffix: Optionally enter the Suffix known for the Customer Record.
- e. **Doing Business As**: If applicable, enter the Doing Business As name for a Customer Record that is a sole proprietorship or trust or otherwise conducts business under a name other than the Natural Person's legal name.
- f. Customer Type: Select one or more Customer Type values from the list.
- g. Year of Birth: Enter a numeric value in the format YYYY.
- h. **Update Notification**: If applying an Update Notification to prevent or resolve a material inconsistency, check this box to set *updateNotification* to 'true'.

6.5. In the **Transformed Identifier** section, provide the Transformed Identifier value by either:

• Entering a pre-hashed TID value and selecting the **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable).

Transformed Identifier		
* Transformed Identifier: *		
5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2	€ Generate	0
* TID Type: *		
FOREIGN		
● SSN/ITIN		
This TID has been replaced by a new TID. (?)		

OR

• Generating a TID value. To generate a TID, click **Generate** and select a **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Enter the **Input Identifier**, then click **Generate**.

Trans	sformed Identifier Generation ×				
Fill out the fields b customer's Transfo	elow and click Generate to generate your rmed Identifier. Input identifiers are not				
stored by CAIS.	Transformed Identifier				
* TID Type:	* Transformed Identifier: *				
SSN/ITIN	5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2		⊕ Generate ⑦		
	FOREIGN				
* Input Identifier:	FOREIGN				
999-99-9999	SSN/ITIN This TID has been replaced by a new TID.				
This TID has be	en replaced by a new TID. 👔				
	CANCEL				

6.6. Enter a value for each applicable field in the Address section. Up to four total Address Records may be provided for the CAT Customer. If applicable, select FDID Address List to autopopulate the address on the Customer Record when the address is identical to the FDID address.

Address		
* Address Type: ADDRESS1	* City:	
	Oasis	
Select from FDID Address List:	* Country Code:	
ADDRESS1	United States (US)	~
	* Region Code:	
* Address Line 1:	Hawaii (HI)	0
15 Jackson Pl	* Postal Code:	
O Add Address Line	704	0
ADD ADDRESS		

6.7. Once appropriate fields have been populated for the Customer Record, click **Add to Submission** to add the data to the submission file.

Anne Home	Submission Management		Reporter CRD
£	File Submission Manual Submission Submissions in Progre	ss Completed Submissions Rejections Inconsistencies	
Submissions	Submission Record for: CAT Submitter ID: Reporter CR	Correspondent CRD: Select a Correspondent CRD V	RESET
Reports	ADD ASSOCIATION 🗸		
user	New FDID Record		
			ADD TO SUBMISSION

- If this association needs to be <u>modified</u> after this step, click the Natural Person record in the FDID Record Associations section, then make appropriate modifications.
- If this association needs to be <u>removed</u> after this step, click the Natural Person record in the FDID Record Associations section, then click the **Remove** button.

- If one or more additional Natural Person records need to be <u>added</u>, repeat the above process for each Natural Person association.
- 7. To add a Legal Entity Customer association to the submission:
 - 7.1 Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.
 - 7.2 Select Legal Entity from the dropdown.

Anne -	Submission Management		Reporter CRD
£	File Submission Manual Submission Submissions in Progress	Completed Submissions Rejections Inconsistencies	
<u>⊮</u>	Submission Record for: CAT Submitter ID: Reporter CRD:	Correspondent CRD: Select a Conspondent CRD	RESET
Reports	ADD ASSOCIATION		
User	Large Trader Natural Person		
	Legal Entity	FDID Record	
_	Correction Action	Firm Designated ID: DVP Custodian ID:	

7.3 Enter a value for each applicable field in the Customer Association section.

Customer Association (Legal Entity)			
* Customer Record ID:		* Role Start Date:	
1	0	20220101	
* Role:		Role End Date:	
TRDHOLDER × ~	(?)	YYYYMMDD 🗎 3	
		Role End Reason:	
		Select an End Date	∽ (?)

- Customer Record ID: A default Customer Record ID is automatically provided for each Customer association, or enter a unique Customer Record ID value for the associated Customer Record.
- b. Role: Select one Role value for the associated Customer Record.
- c. Has Discretion: If required due to the Role being 'AUTHREP' or 'AUTH3RD', select either 'Yes' or 'No' to indicate whether the associated customer has trading discretion as defined in the Customer & Account Technical Specifications for Industry Members.
- d. **Role Start Date**: Enter a value in the format of *YYYYMMDD* or select a date using the date picker.
- e. **Role End Date**: If reporting a Customer association that has been ended, enter a value in the format of *YYYYMMDD* or select a date using the date picker.
- f. **Role End Reason**: If reporting a Customer association that has been ended, select one End Reason value.
- 7.4 Enter a value for each applicable field in the **Customer Record** section.

Customer Record	
* Legal Name:	* Customer Type:
Test Company	ADVISER X BD X ~ (2)
EIN:	Update Notification:
99-9999999	Yes ⑦
LEI:	
839CMZT271094LP3R593	

- a. Legal Name: Enter the Legal Name known for the customer.
- EIN: Enter the Employer Identification Number known for the customer, if applicable. This field must be populated if the Input Identifier used to generate the customer's TID was an EIN.
- c. **LEI**: Enter the Legal Entity Identifier known for the customer, if applicable. This field must be populated if the Input Identifier used to generate the customer's TID was an LEI.
- d. **Customer Type**: Select one or more applicable Customer Types for the Customer Record.
- e. **Update Notification**: If applying an Update Notification to prevent or resolve a material inconsistency, check this box to set *updateNotification* to 'true'.

7.5 In the **Transformed Identifier** section, provide the Transformed Identifier value by either:

• Entering a pre-hashed TID value and selecting the **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable).

iransformed Identifier				
* Transformed Identifier:				
d41c0037fcf88a66aeb6b18b0ccc9ace4c0b71a9	3be4555d585006	cfd2dc22ec		
* TID Type:				
EIN				
FOREIGN				
* Foreign TID Type:				
NATIONALID	~	0		
* TID Country Code:				

OR

 Generating a TID value. To generate a TID, click Generate and select a TID Type. Enter the Input Identifier (and Foreign TID Type and Foreign TID Country Code, if applicable), then click Generate.

Transformed Identifier Generation ×					
Fill out the fields below and click Generate to generate your customer's Transformed Identifier. Input identifiers are not stored by CAIS.					
* TID Type:					
FOREIGN					
SSN/ITIN					
* Input Identifier:					
9999999999 (?)					
* Foreign TID Type:					
OTHGOVT V					
* TID Country Code:					
Canada (CA) 🗸 🕜					
This TID has been replaced by a new TID. (?)					
CANCEL GENERATE					

7.6 Enter a value for each applicable field in the **Address** section. Up to four Address records may be provided for the CAT Customer.

Address Type: ADDRESS1	* City:		
	Des Moines		
Address Line 1:	* Country Code:		
101 North Way	United States (US)		~
Add Address Line	* Region Code:		
	lowa (IA)	~	0
	* Postal Code:		
	50023		?

- 8. To submit manually created files through the CAIS Portal:
 - 8.1 Once all applicable fields have been populated, click the **Review** button. A summary of the data and metadata to be submitted is displayed.

A Home	Submission N	lanagement							Reporter CRD	ľ
£	File Submission	Manual Submission	Submissions in Progress	Completed Submissions	Rejections	Inconsistencies				
Submissions	Submission Reco	ord for: CAT Submitt	er ID: Reporter CRD:	Correspondent CRD:	Select a Correspondent (RD 🔻	0		RESET	

8.2 To edit values prior to submission, click **Back.**

Manual Submission Review Submission Record for: CAT Submitter ID:	; Reporter CRD: Correspondent CRD: N/A		BACK
Please save a copy of this page for your records. Writh that the following are true: • At least one customer for this account holds	he flow of TRDHOLDER or AUTHER/AUTH3RD with Heat Discretion set to TRUE		*
Quick Look	✓ CAIS Data File Name20040322_calsweb_CAIS_176601,ison.bz2.		1
Customer Record ID 13: PortalGuide	V FDID Record TESTGUIDE77		
	Firm Designated ID	TESTGUIDE77	
	Fold Type	ACCOUNT	

8.3 Ensure all data is accurate and complete. Next, save a copy of the Manual Submission Review for your records *prior to submission*. Finally, click **Submit**.

Manual Submission Review Submission Record for: CAT Submitt	er ID: Reporter CRD: Correspondent CRD: N/A		BACK
Please save a copy of this page for your record Verify that the following are true: • At least one customer for this account	ds. holds the Role of TROHOLDER or AUTHREP/AUTHERO with Has Discretion set to TRUE		×
Quick Look TESTGUIDE77 Customer Record ID 13: PortalGuide	CAIS Data File Name 2 S_20240322_calsweb_CAIS_176601,poin.bd FDID Record TESTGUIDE77	2	
	Firm Designated ID	TESTGUIDE77	
	Fold Type	ACCOUNT	

Manual submission generates a file set which is uploaded to the separate subsystems and processed through file integrity validation and data validation. Users may access feedback via the Download Submission Feedback File functionality (see <u>Section 6.3</u>).

6.3. Download Submission Feedback Files

Entitled users may download file feedback via the CAIS Portal. Feedback may only be downloaded for data files that were uploaded or manually entered via the CAIS Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).

Each Full CAIS submission will receive feedback on both the CAIS Data File and the Transformed Identifiers File.

To download a feedback file:

1. Select Submissions.

CAIS Re	Poprter Portal 11:19:37 AM EST Bob Smith 3 2021-12-06 5523 REFORMANCE 5523 5523 5523 652 65
A	Welcome to the CAT Customer and Account Information System
1	Maximum Allowable Error Rate: 5.00%
Submissions	

2. Select Completed Submissions.

A Home	Submission I	Vanagement					Reporter CRD	1234 REPORTING FIRM INC.	•
£	File Submission	Manual Submission	Submission in Progress	Completed Submissions	Rejections	Inconsistencies			

 Utilize the sort and filter functionalities to locate the submission for which the feedback files were generated. Once the file is located, click the Feedback File button. Select the CAIS Data Feedback File or TIDs Feedback File in order to download the corresponding feedback file. The Result column displays the final state of the submission.

A Home	Submission Management			Reporter CRD	1234 REPORTING FIRM INC.
£	File Submission Manual Submission Submission in Progress	Completed Submissions	Rejections Inconsistencies		
Submissions	15 items selected V			4	C Refresh 🔺 Download 💿
Reports	Subr	hitter			FDIDs
۵	Version Version	♥ File Name ♥	Completion Date 👻	Result 🗢	Processed 🗢
User					<u> </u>

7. CAIS Reporting Relationships

A CAIS Reporting Relationship establishes a link between an Industry Member and a Submitter for purposes of transmitting and viewing CAIS data. A relationship is comprised of:

- **The Industry Member.** This identifies the Industry Member that is required to submit data to CAIS and for which data may be transmitted and viewed.
- **The Submitter.** This identifies the organization that may transmit and view data on behalf of the Industry Member.

A reporting relationship must be manually created in the CAT Transaction Portal before a Submitter may transmit CAIS data on behalf of the Industry Member. **Only the Industry Member can create and manage Reporting Relationships**. For more information on creating and managing relationships in the CAT Transaction Portal, see the <u>Industry Member CAT Reporter Portal User Guide</u>. An Industry Member may have multiple active relationships at any time. Self-reporting Industry Members are not required or able to establish a self-reporting relationship.

Information regarding the methods to view and manage CAIS Reporting Relationships via the Portal is provided below. CAIS Reporting Relationships are **view-only** in the CAIS application. **All CAIS Reporting Relationship management occurs in the CAT Transaction Portal.**

7.1. Usage of Reporting Relationships

A reporting relationship allows the Submitter to transmit data on behalf of the Industry Member. This includes the ability to submit data, to view feedback and repair rejections, resolve Inconsistencies and make corrections to that data. A Submitter may only view feedback, repair/resolve errors and make corrections to data for an Industry Member for which it is authorized to submit.

7.2. View CAIS Reporting Relationships

CAIS Reporting Relationships are **view-only** in the CAIS application from the perspective of the Submitter ID and cannot be used to create and manage CAIS Reporting Relationships. See the following section for information on creating and managing CAIS Reporting Relationships in the CAT Transaction Portal.

To view all Reporting Relationships for the organization:

1. Select User.

CAIS Reporter Portal		Bob Smith 1234 REPORTING FIRM INC.
A Horse	Welcome to the CAT Customer and Account Information System	
submissions.	Maximum Allowable Error Rate: 5.00%	
<u>2</u>		
Reports		

2. Select Reporting Relationships.

A Home	User	
1 Submissions	Profile	Reporting Relationships

 The user's Submitter ID, CAT Reporter CRD (if applicable), and active authorized Reporting Relationships are displayed. Industry Members for which your organization is authorized to submit are listed.

A Home	User		
£	Profile	Reporting Relationships	
Submissions	Submitter II	D	1234
User	Authorized	Reporting Firms	CRD 8 REPORTER FIRM 1 INC
			CRD 18 REPORTER FIRM 2 INC
			CRD 90 REPORTER FIRM 3 INC
			CRD 199 REPORTER FIRM 4 INC
			CDD 360

CAIS Reporting Relationships cannot be changed or removed from within the CAIS Portal. All Reporting Relationship management occurs within the CAT Transaction Portal.

7.3. Create and Manage CAIS Reporting Relationships

All CAT CAIS Reporting Relationships must be created and managed within the CAT Transaction Portal. For information on accessing the CAT Transaction Portal directly, see the Industry Member CAT Reporter Portal User Guide at <u>https://www.catnmsplan.com/transaction-registration</u>.

7.3.1. CAIS Reporting Relationship Fields, Rules, and Validations

Each CAIS Reporting Relationship includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT	The unique CRD identifier of	Yes	Derived by	
Reporter	the Firm to which the logged-in		system	
CRD ID	user account is associated.			
CAT	The CRD Number for the CAT	Yes	Dropdown	Must not be the CRD
Submitter	Reporting Agent/Submitter.		Selection	Number of the CAT
CRD ID				Reporter.
Effective	The first date on which the	Yes	Date	Must be on or after the
Date	CAIS Reporting Relationship		(MM/DD/YYYY)	current date.
	is/was available for submitting			
	and managing data.			
Expiration	The last date on which the	No	Date	Must be on or after the
Date	CAIS Reporting Relationship		(MM/DD/YYYY)	Effective Date.
	is/was available for submitting			Must be on or after the
	and managing data.			current date.

7.3.2. Duplicate and Overlapping CAIS Reporting Relationships

To ensure data integrity, CAT does not allow two CAIS Reporting Relationships to duplicate one another. When determining if two relationships would be duplicative, CAT considers the CAT Reporter CRD ID and CAT Submitter CRD ID as well as the Effective and Expiration Dates.

7.3.3. View and Export CAIS Reporting Relationships

To manage all CAIS Reporting Relationships for the Industry Member:

1. Click on the navigation panel to access the CAT Transaction Portal.

2. Click Reporting Relationships > CAIS Reporting Relationships.

Reporting	Reporting Relationships	
Feedback	Transaction Reporting Relationships CAIS Reporting Relationships	
Corrections	Add New	
Report to CAT	Reporter View	
Reporting Relationships		
	No Reporting Relationships Found	

3. All CAIS Reporting Relationships for the Industry Member are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.

Reporting		99999999	8888888		04/23/2021	04/24/2399	imcaisreprousrtst	04/23/2021 08:28:15	imcaisreprousrtst	04/23/2021 08:30:31		
eport to CAT		CAT Reporter CRD ID	CAT Submitter CF	ad id	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On		
a	3	Reporter View									Add New	Export
		Transaction Reporting Re	lationships	CAIS Rep	orting Relationships							
Reporting Feedback	Repo	orting Relationships										

4. To <u>export</u> a list, click Export. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported. Download the generated CSV file using the internet browser functionality.

Reporting	Reporting Relationships						
Feedback	Transaction Reporting	Transaction Reporting Relationships		CAIS Reporting Relationships			
Error Corrections	Reporter View				_	A	dd New Export
Report to CAT	CAT Reporter CRD ID	CAT Submitter C	RD ID	Effective Date	Expiration Date	Created By	Created On
Reporting Relationships	99999999	88888888 - CAT	Reporter	02/25/2021	02/22/2099	imcaisrepusrtst	02/25/2021 08:

7.3.4. Add a CAIS Reporting Relationship

The Industry Member must create a CAIS Reporting Relationship before the Submitter is able to act on its behalf.

To add a new CAIS Reporting Relationship:

1. Click Add New.

Reporting	Reporting Relationships						
Feedback	Transaction Reporting	Relationships	CAIS Re	porting Relationships			
Corrections	Reporter View				_	Ad	ld New Export
Report to CAT	CAT Reporter CRD ID	CAT Submitter C	RD ID	Effective Date	Expiration Date	Created By	Created On
Reporting Relationships	99999999	88888888 - CAT	Reporter	02/25/2021	02/22/2099	imcaisrepusrtst	02/25/2021 08:

2. Enter the details for the relationship. See <u>Section 7.3.1</u> above for details on field requirements, formats, and validations.

Reporting	Reporting Relationships				
Feedback	Transaction Reporting Re	Add New Reporting Relationship	Х		
Error Corrections	Reporter View	Submitter * 77777777 - Another CAT Reporter	-		Add New Export
eport to CAT	CAT Reporter CRD ID	Contact your CAT Reporting Agent to verify the Submitter's Org ID Effective Date *		reated By	Created On
Reporting telationships	99999999	8/8/2022		usrtst	02/25/2021 08:
ATS Order		Expiration Date (Optional)			
Types		Cancel	Save		

3. Click Save. The new relationship is displayed on the CAIS Reporting Relationships list.

Reporting Feedback	Repor	ting Relationships					
Error	Т	ransaction Reporting R	elationships	CAIS Repo	orting Relationships		
	Re	eporter View				I	Add New Export
		CAT Reporter CRD ID	CAT Submitter C	RD ID	Effective Date	Expiration Date	Created By
Reporting	999999999		88888888 - CAT	Reporter	02/25/2021	02/22/2099	imcaisrepusrtst
		99999999	77777777 - Anot	her CAT Reporter	02/22/2021		imcaisrepusrtst

7.3.5. Manage Existing CAIS Reporting Relationships

A relationship may be edited as follows:

- For a **future-dated relationship** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active relationship** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), only the *Expiration Date* may be edited.
- For an **expired relationship** (where the *Expiration Date* is before the current date), no fields may be edited.

To edit a non-expired CAIS Reporting Relationship:

1. Click \square for the relationship.

Reporting	Reporting Relationship	s									
Feedback Error Corrections	Transaction Reportin	g Relationships	CAIS Repor	rting Relationships							
÷	Reporter View									Add New	Export
Report to CAT	CAT Reporter CRD ID	CAT Submitter CRE	DI D	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On		
급급 Reporting	99999999	77777777 - Another	CAT Reporter	02/25/2021	02/22/2099	catbpoore	02/25/2021 08:57:06	imcaisrepusrtst	02/25/2021 08:57:19	Ø	

2. Make the desired update(s). See <u>Section 7.3.1</u> above for details on field requirements, formats, and validations.

		Edit Reporting Relationship	×		
		Submitter			Add New Expo
CAT Reporter CRD ID	CAT Submitter CRD ID	1	~	Updated By	Updated On
40000		Contact your CAT Reporting Agent to verify the Submitter's Org ID Files/Jee Date *		2:54:38	08/04/2020 10:54:38
40000		8/10/2020	Ē):35:52	08/04/2020 10:36:07
40000				:31:01	08/03/2020 11:31:09
40000		8/17/2020		:26:48	08/03/2020 11:26:48
40000				1:24:07	08/03/2020 11:24:07
40000		Capital	Undate	1-23-23	09/09/2020 11/22/22

3. Click **Update**. The updated information is displayed in the CAIS Reporting Relationships list.

Reporting	Reporting Relationships						
Error	Transaction Reporting Re	lationships	CAIS Repo	orting Relationships			
Corrections	Reporter View					Add New Export	
	CAT Reporter CRD ID	CAT Submitter C	RD ID	Effective Date	Expiration Date	Created By	
Reporting Relationships	99999999	88888888 - CAT Reporter		02/25/2021	02/22/2099	imcaisrepusrtst	
	99999999	77777777 - Anot	her CAT Reporter	02/22/2021	08/17/2022	imcaisrepusrtst	