Industry Member CAT CAIS Reporter Portal User Guide

04/23/2024

Version 2.3.0

Table of Contents

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 help@finracat.com.

Companion Resources

- CAT CAIS Industry Member Reporting Scenarios:
  https://www.catnmsplan.com/specifications/imreportingscenarios

- Customer & Account Technical Specifications for Industry Members and JSON Schemas CAIS
  System: https://www.catnmsplan.com/specifications/im

- Frequently Asked Questions: https://www.catnmsplan.com/faq

- Industry Member CAIS Onboarding Guide: https://www.catnmsplan.com/cais-registration

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 [Industry Member CAIS Onboarding Guide](#) 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 FINRA CAT Connectivity Supplement for Industry Members 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 [Industry Member CAIS Onboarding Guide](#).

For information on the connectivity methods and accessing the CAIS Portal via private line or PrivateLink, see the [FINRA CAT Connectivity Supplement for Industry Members](#).

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.

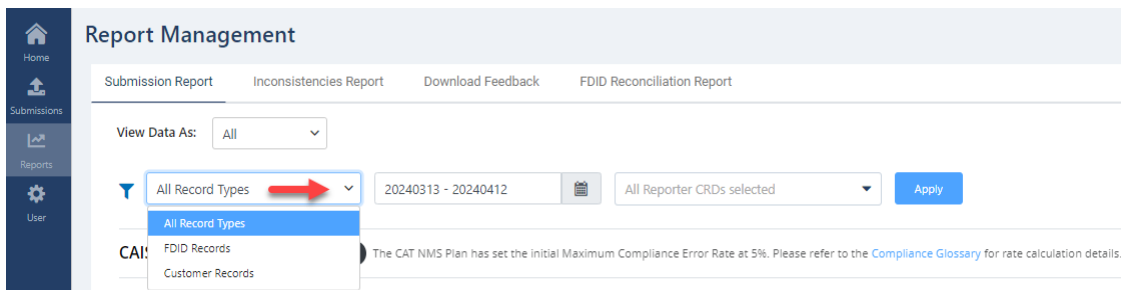**To view statistics available for the organization:**

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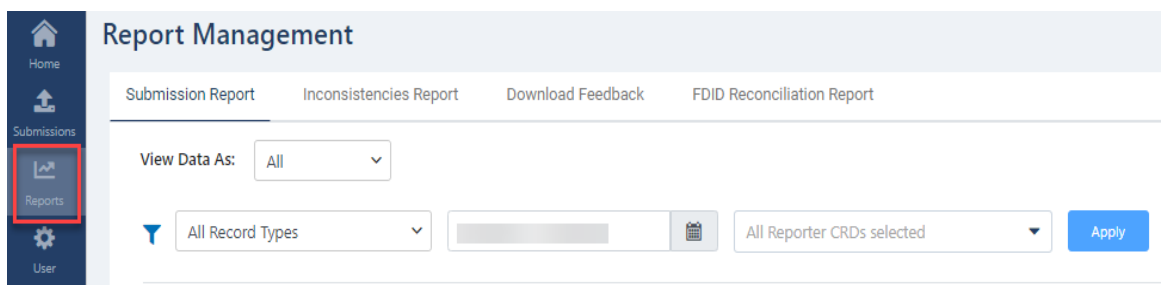
2.   The Report Management screen provides access to the following data: Submission Report, Inconsistencies Report, Download Feedback and FDID Reconciliation Report.

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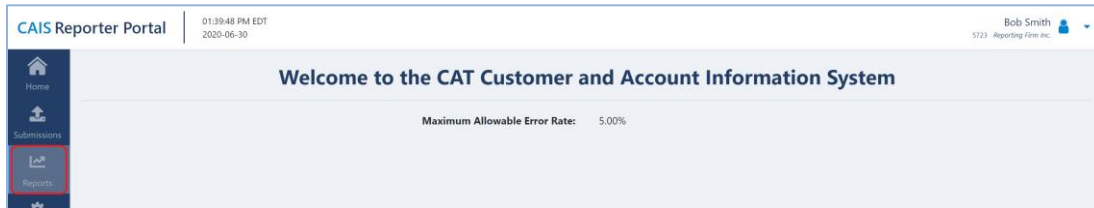
2. The **Submission Report** tab is displayed by default.
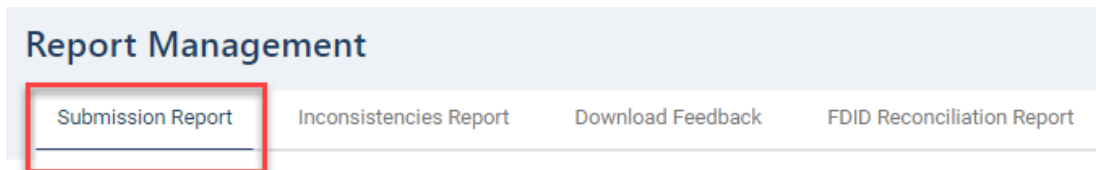
3. Optionally, modify the display criteria. Submission statistics for both FDID and CAT Customer record types for the last 30 calendar days are displayed by default. To select another date or date range, utilize the date picker. To view statistics for only FDID or only CAT Customer Record types, select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

4. Review the Submission Report.

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.
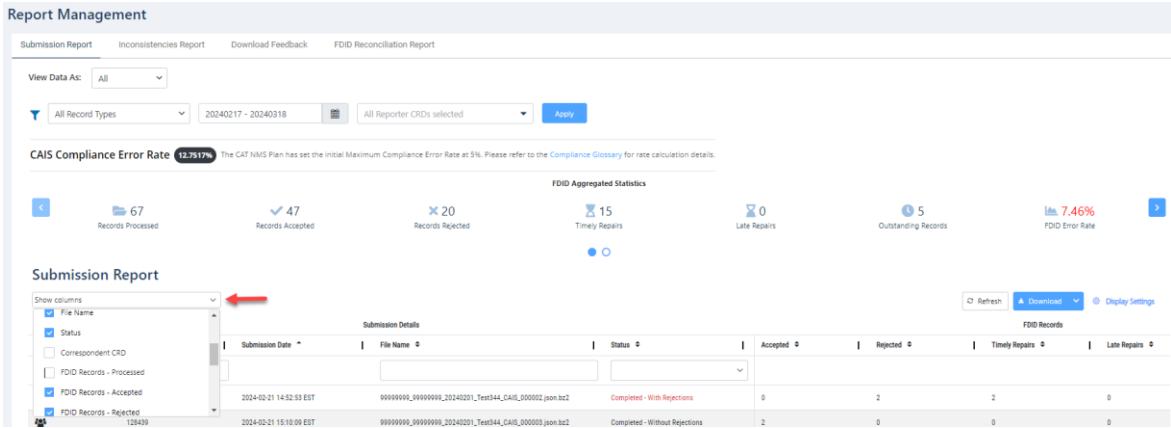
5. Optionally, select the **Download** button to download the Submission Report in a CSV file.

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

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
    o With Rejections
    o Integrity Error
    o Processing Failure
    o Cancelled by Support
    o 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.
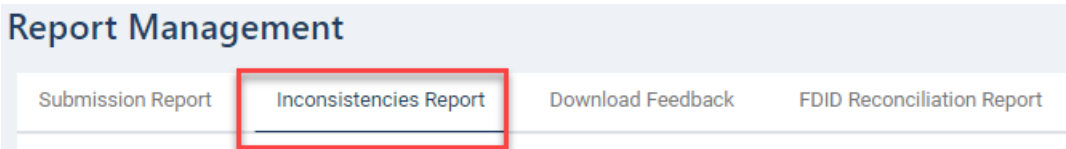
A further breakdown of inconsistencies by Customer Record may also be viewed on the Inconsistencies tab within Submission Management (see Section 5.3).
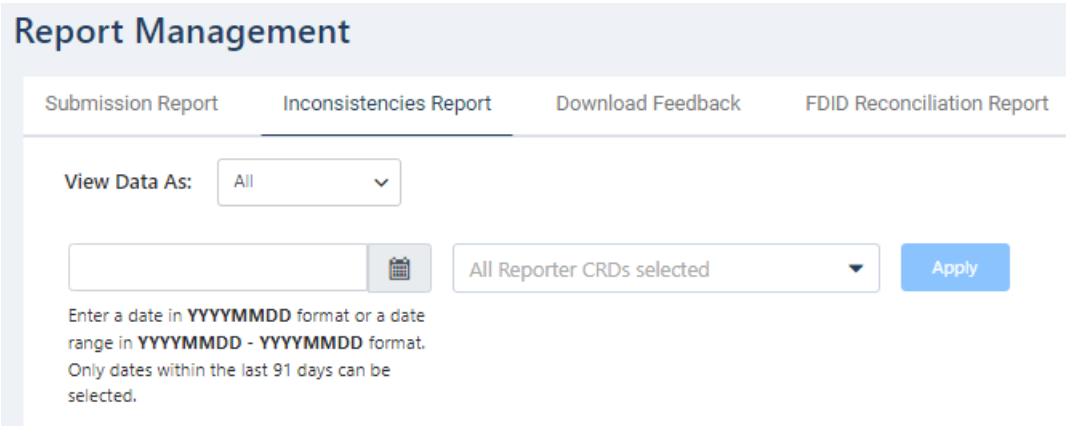
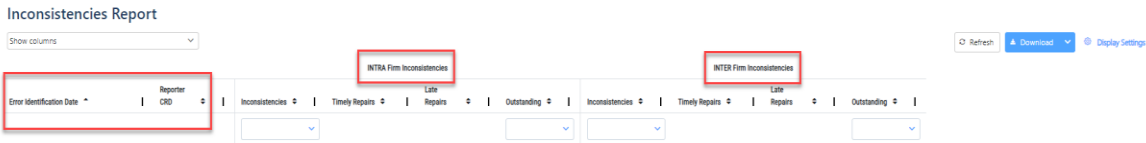**To view an Inconsistencies Report**:

1. Select **Reports**.
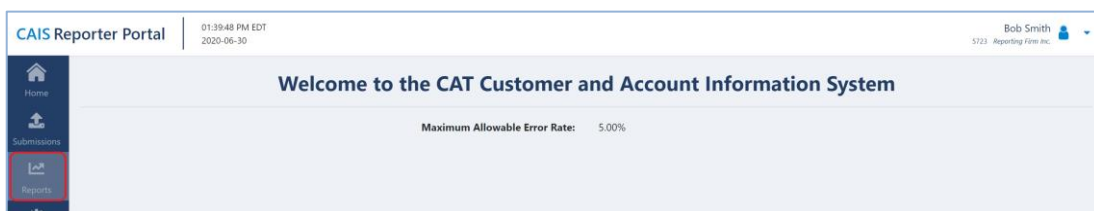
2. Select **Inconsistencies Report**.

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.
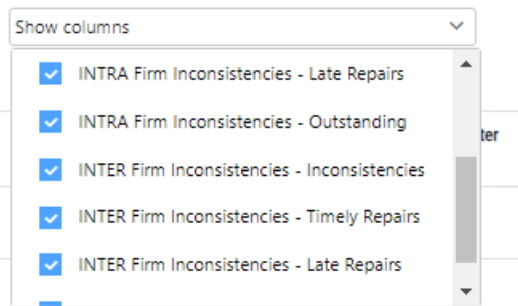

4. The Inconsistencies Report provides statistics by Error Identification Date and Reporter CRD. INTRA Firm Inconsistencies and INTER Firm Inconsistencies are displayed by default.

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 Report

| Error Identification Date	Reporter CRD	Submitter ID	Correspondent CRD	INTRA Firm Inconsistencies				INTER Firm Inconsistencies			
				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	99999999		2	0	0	7	2	10	0	8
2024-01-24	77777777	99999999		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 <u>view</u> Download Feedback:

1. Select **Reports.**
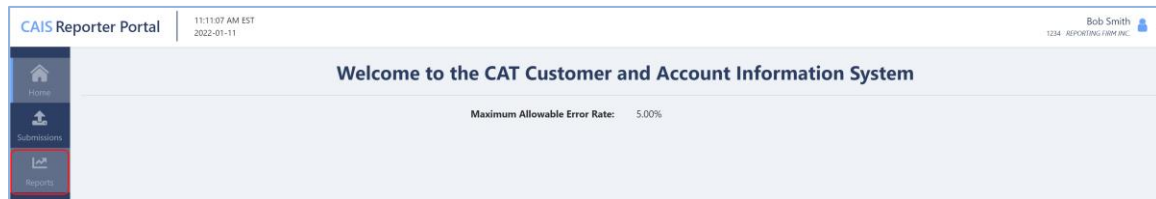
2. Select **Download Feedback**. Feedback files are displayed by Processing Date.
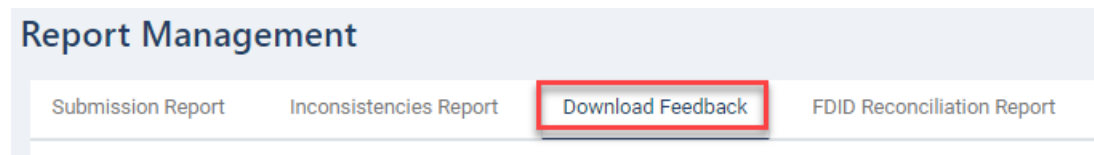
3. To open a file, select the **Dropdown** icon.

Report Management

| Submission Report | Inconsistencies Report | Download Feedback | FDID Reconciliation Report |

Processing Date ▼		File Name ⇕		Download
2024-04-11		99999999_99999999_20240411_OUTSTANDINGINCONSISTENCIES_000001_data.json.bz2		📥
2024-04-11		99999999_99999999_20240411_OUTSTANDINGINCONSISTENCIES_000001_meta.json		📥
2024-04-10		99999999_77777777_20240410_OUTSTANDINGINCONSISTENCIES_000001_meta.json		📥
2024-04-10		99999999_77777777_20240410_OUTSTANDINGINCONSISTENCIES_000001_data.json.bz2		📥

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:
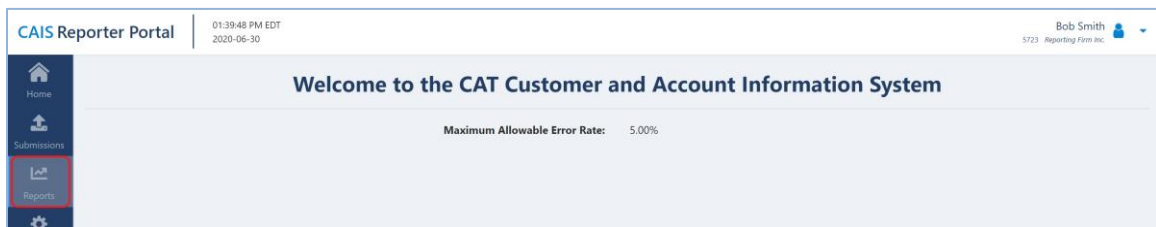
1. Select **Reports**.

2. Select **FDID Reconciliation Report.**
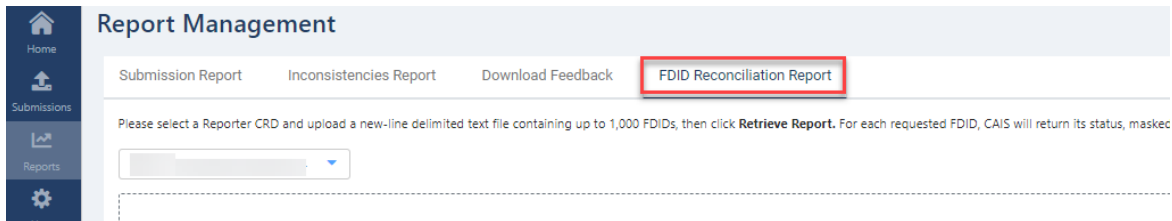
3. Select a **Reporter CRD** for which you are currently entitled to submit data.
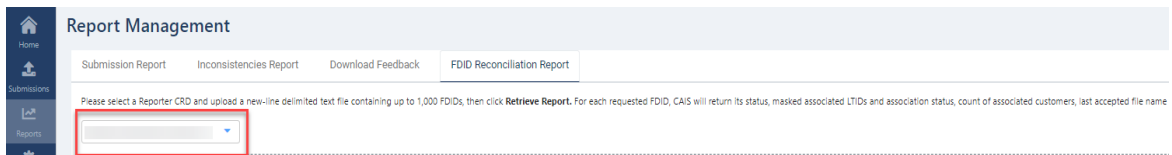
4. Upload a newline-delimited text file containing up to 1,000 FDIDs.
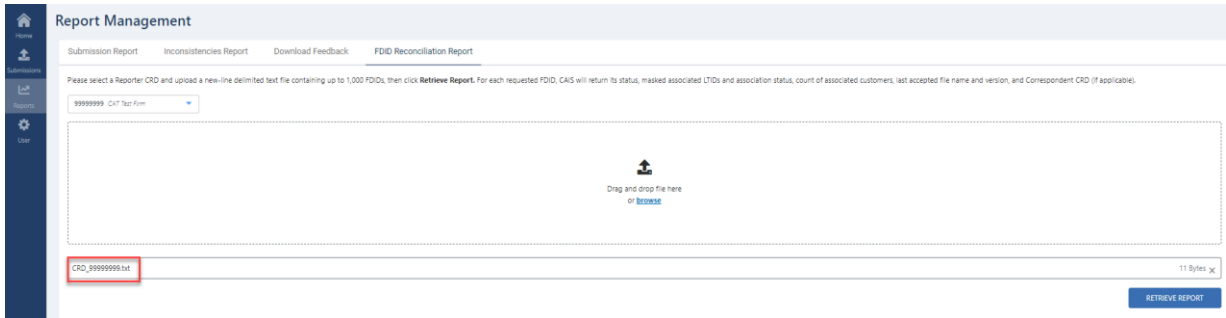
5. Select **Retrieve Report**.

6. The FDID Reconciliation Report results file will be generated and downloaded to your machine.
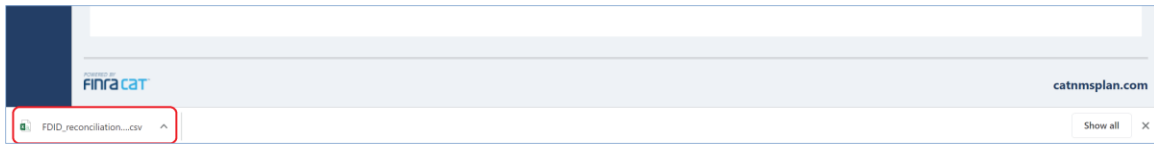
7. Once generated, open the file in Microsoft Excel or another compatible program.

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_99999999_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.**
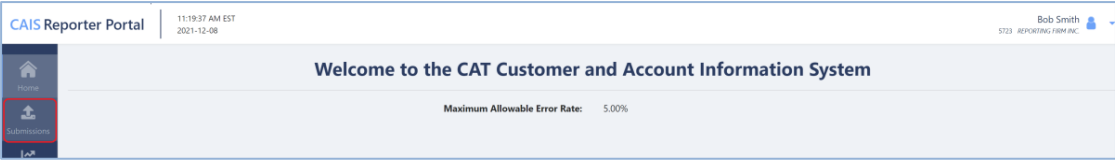
2. Select **Rejections.**
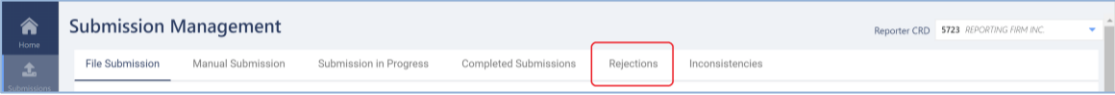
3. The **Account Rejections** tab is displayed by default. Rejections that are Outstanding and Resolved are displayed in the table. The Account Rejections tab displays the full count of rejections by unique FDID. Each FDID may have more than one rejection. Users may access further details regarding FDID rejections by clicking the **View** icon or by selecting the **Download** button.
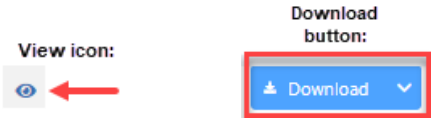
The table within the Account Rejections tab includes the following columns which the user may choose to display:

- 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.

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

5. To view further details regarding each rejection, click the **View** icon.
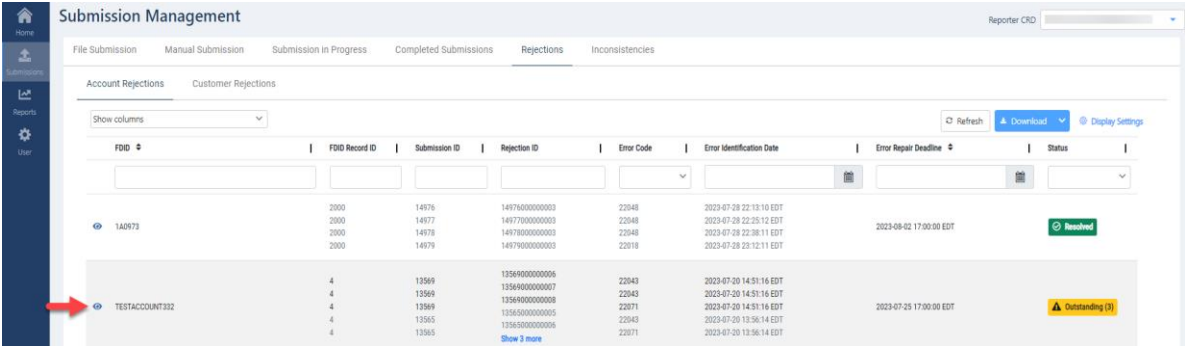
6. The Rejections Detail screen for FDID rejections is displayed once the View icon is selected. This window provides historical records for each error per unique FDID that remains outstanding or has been repaired. The information displayed notes in particular the steps taken to repair FDID rejections 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.
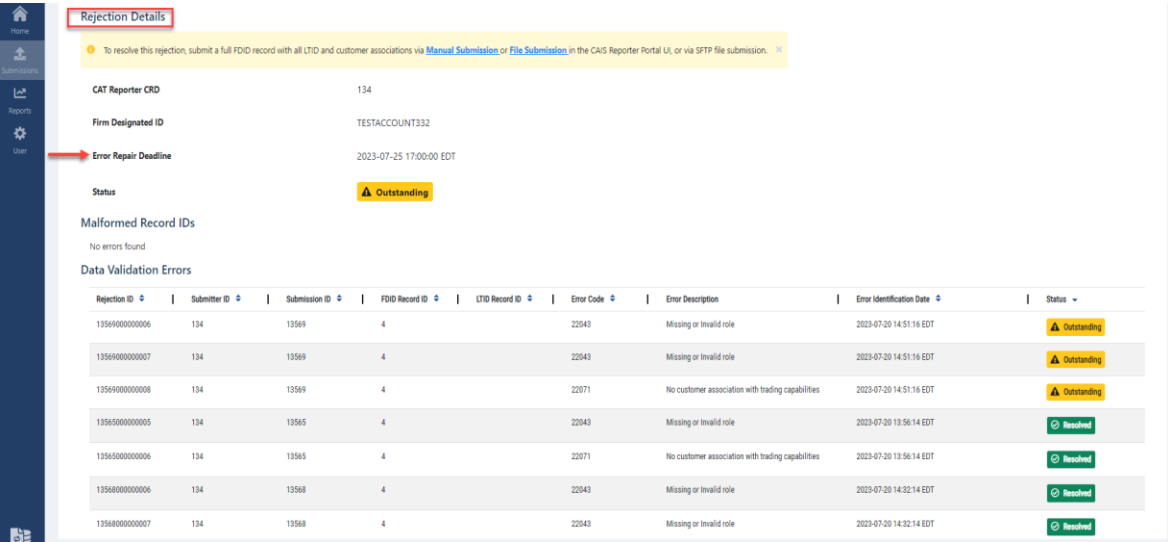
7. To download FDID Record rejections, click the **Download** button. If filters have been applied to the download, only the FDIDs meeting the specified criteria are downloaded.
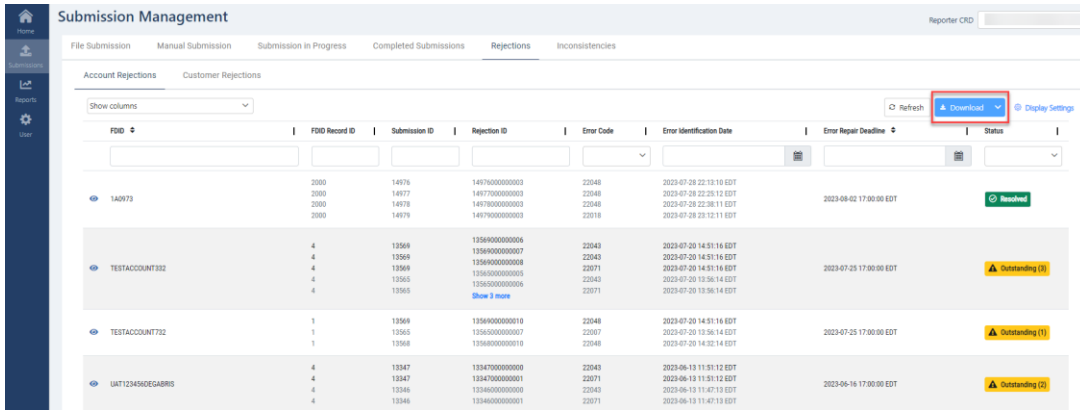
8. When downloading Account rejections, each error, Outstanding or Resolved, will be broken out onto separate line items that include submissions from a historical point of view by unique FDID. The download provides a full lifecycle of rejections against the FDID. Thus, each row represents a unique Rejection 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.

9. To view Customer Record rejections, click the **Customer Rejections** tab.
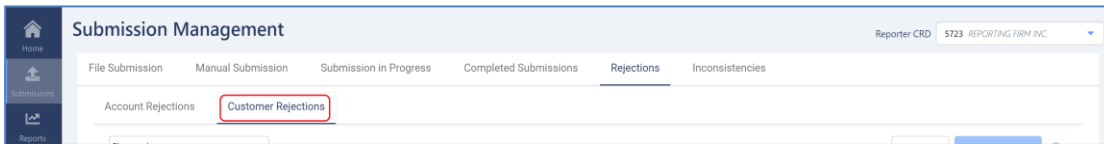
10. Outstanding and repaired rejections are displayed in the table by Customer Rejection Event ID, which is a unique identifier assigned by CAT for the Customer. If the Customer has multiple rejections, all rejections will be grouped by the Customer Rejection Event ID.

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.

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

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

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.

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.
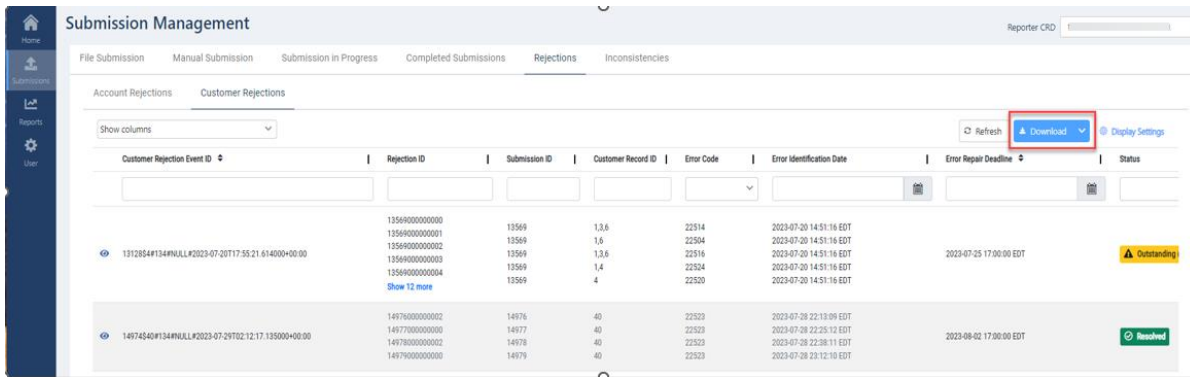
- When downloading Customer rejections, each error, Outstanding or Resolved, will be broken out onto separate line items that include submissions from a historical point of view by Customer Rejection Event ID. The download provides a full lifecycle of rejections against the unique Customer. Thus, each 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

	Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	Error Repair Deadline	Status
1								
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	13569000000001	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	13569000000002	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	13569000000003	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	13569000000004	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	13569000000005	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	13565000000002	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	13565000000003	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	13565000000004	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	13568000000000	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	13568000000001	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	13568000000002	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	13568000000003	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	13568000000004	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	13568000000005	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**.

2. Select **Inconsistencies**.

3. 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.

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

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.

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

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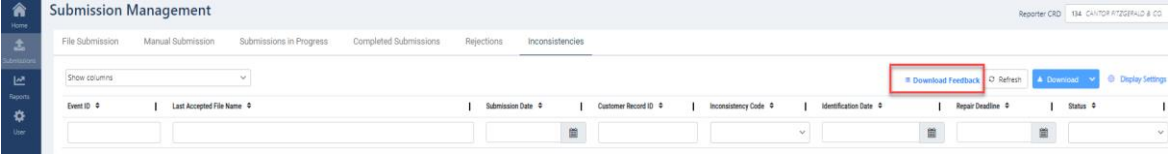
5.4. Material Inconsistency Resolution

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 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, 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 Section 6.2 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:
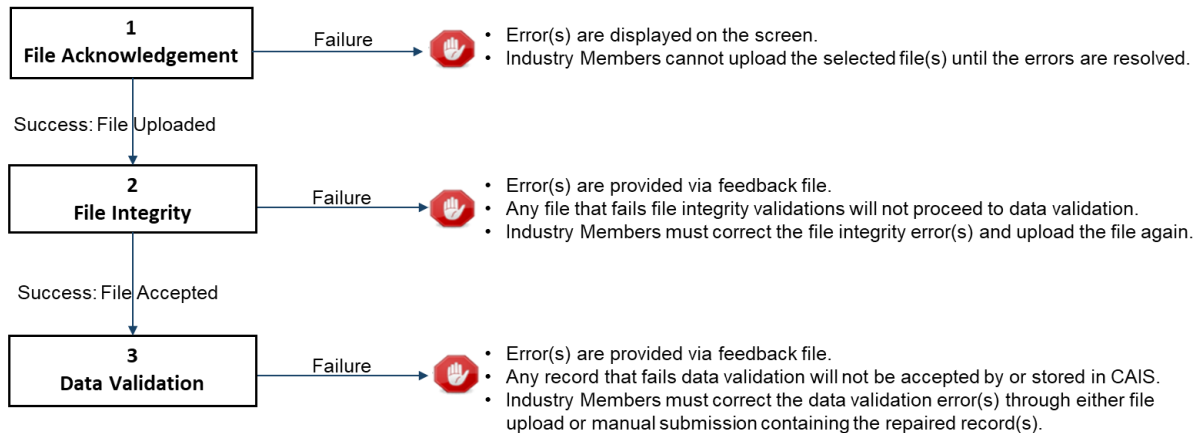
6.1.1. File Processing

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 Section 6.3 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.

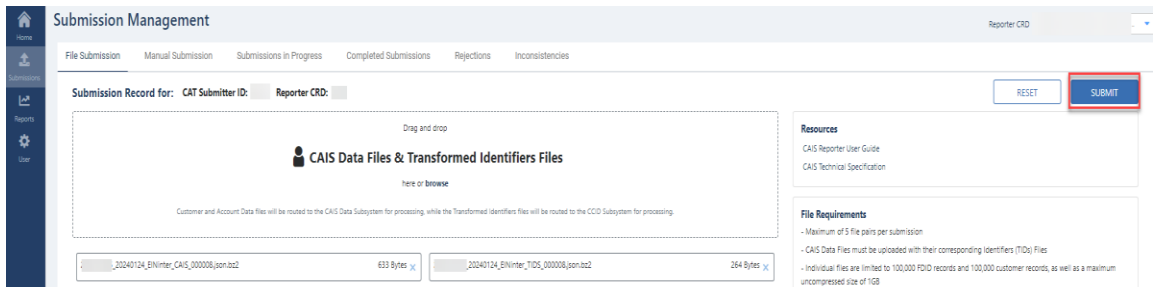**To upload one or more CAIS Data and TIDs file sets:**

1. Select **Submissions.**
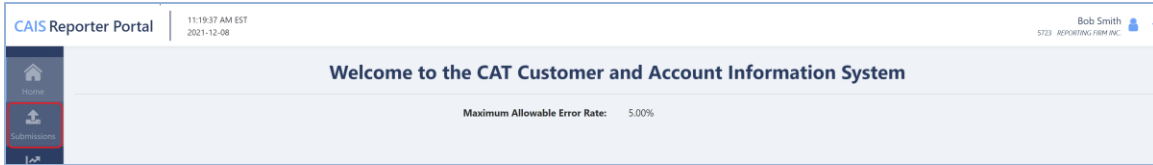
2. The File Submission tab is displayed by default.

3. Drag-and-drop or use the browse functionality to select the desired file set(s).
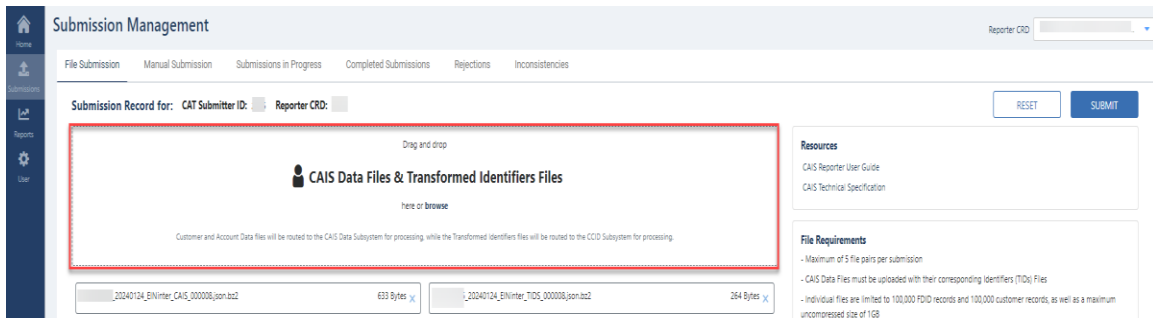
4. When all desired file sets have been selected, or when the upload limit has been reached, click **Submit.**

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 <u>manually submit</u> records:

1. Select **Submissions.**
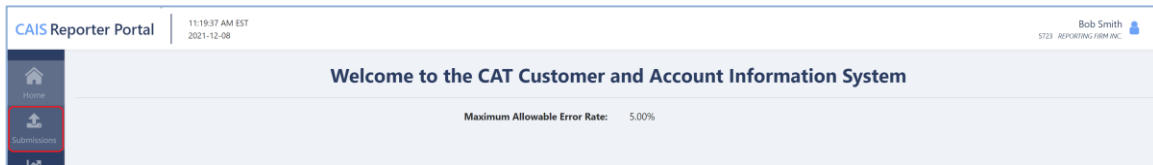
2. Select **Manual Submission.**
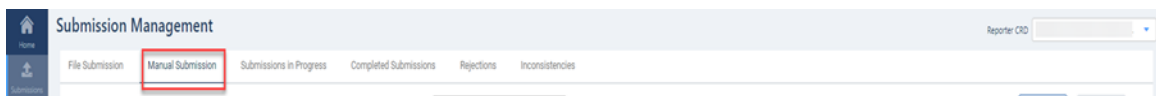
3. If applicable, select a **Correspondent CRD.** The Correspondent CRD selected is applied to all FDID and Customer records within the manual submission set. It must only be selected by clearing firms with introducing brokers or correspondents and only when reporting Accounts to CAIS that are custodied for their introducing brokers/correspondents, including DVP/RVP accounts. For Accounts which are not correspondent Accounts, Correspondent CRD must not be selected.
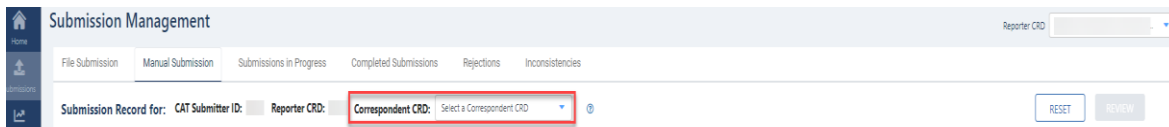
To submit an <u>FDID</u> Record:

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

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.

l. **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.
   o **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..

3. 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.

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. **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 underadded, repeat the above process for each LTID/ULTID association.
- If this association needs to be modified after this step, click the LTID in the FDID Record Associations section, then make the appropriate modifications.
- If this association needs to be removed 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.

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

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 *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.

6.4. Enter a value for each applicable field in the **Customer Record** section.

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).

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**.

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:
  ◉ SSN/ITIN
  ○ FOREIGN

* Input Identifier:
  999-99-9999

☐ This TID has been replaced by a new TID. ⑦

CANCEL   GENERATE

Transformed Identifier

* Transformed Identifier: *
  5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2   ⊕ Generate   ⑦

* TID Type: *
  ○ FOREIGN
  ◉ SSN/ITIN

☐ This TID has been replaced by a new TID. ⑦

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.

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

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

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

   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 *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.

a. **Legal Name**: Enter the Legal Name known for the customer.

b. **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).

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**.

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.

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.

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

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 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 Section 6.3).

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.**

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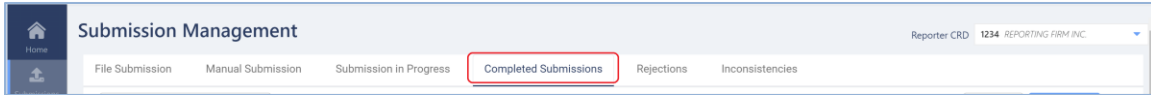
3. Utilize the **sort** and **filter** functionalities to locate the submission for which the feedback files were generated. Once the file is located, click the **Feedback File** button. Select the **CAIS Data Feedback File** or **TIDs Feedback File** in order to download the corresponding feedback file.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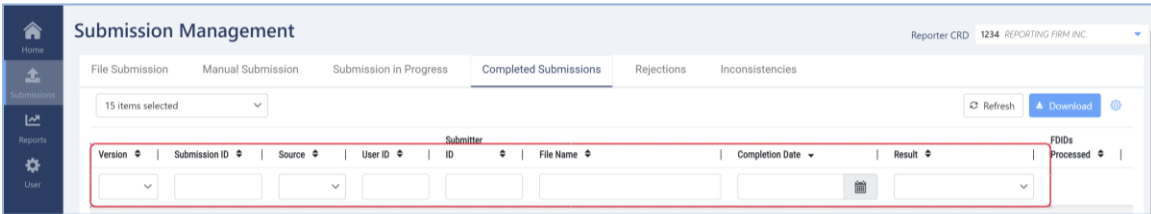
7. CAIS Reporting Relationships

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 [Industry Member CAT Reporter Portal User Guide](). 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.

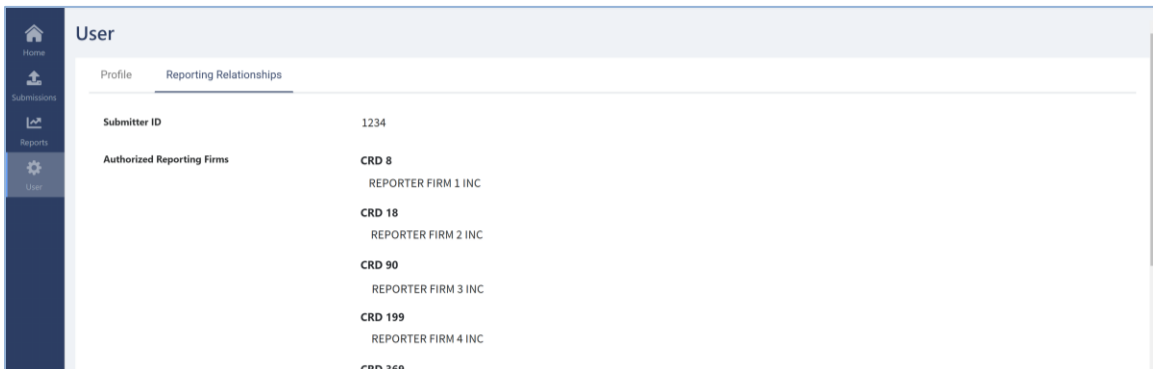**To view all Reporting Relationships for the organization:**

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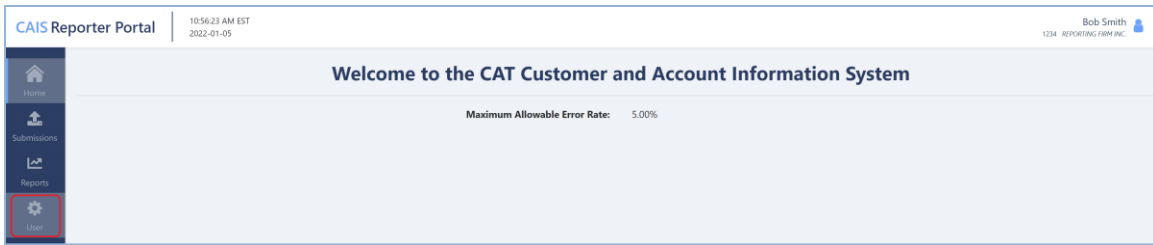
2. Select **Reporting Relationships.**
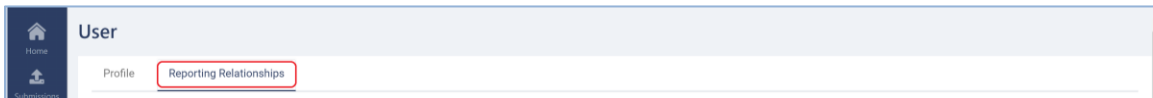
3. The user's **Submitter ID**, **CAT Reporter CRD** (if applicable), and **active authorized Reporting Relationships** are displayed. Industry Members for which your organization is authorized to submit are listed.

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 https://www.catnmsplan.com/transaction-registration.

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 Reporter CRD ID	The unique CRD identifier of the Firm to which the logged-in user account is associated.	Yes	Derived by system	---
CAT Submitter CRD ID	The CRD Number for the CAT Reporting Agent/Submitter.	Yes	Dropdown Selection	Must not be the CRD Number of the CAT Reporter.
Effective Date	The first date on which the CAIS Reporting Relationship is/was available for submitting and managing data.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.
Expiration Date	The last date on which the CAIS Reporting Relationship is/was available for submitting and managing data.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the 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**.
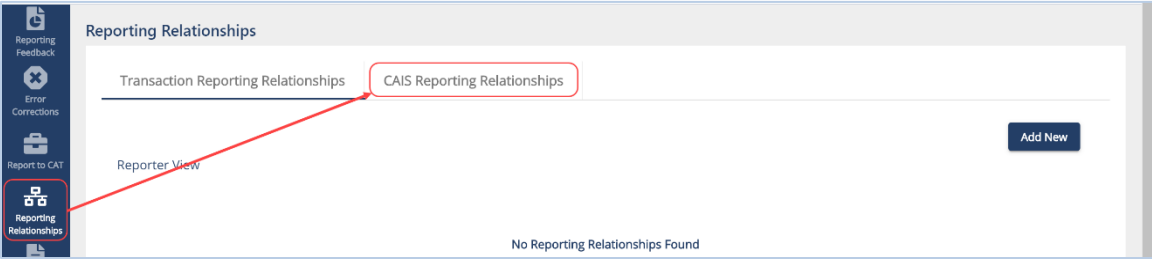
3. All CAIS Reporting Relationships for the Industry Member are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.

4. To **export** 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.

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**.

2. Enter the details for the relationship. See Section 7.3.1 above for details on field requirements, formats, and validations.
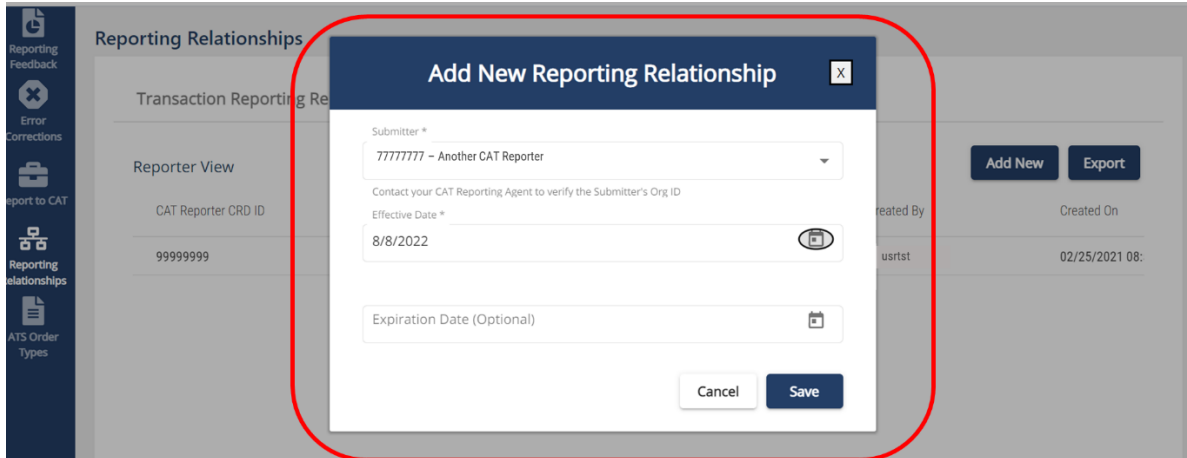
3. Click **Save**. The new relationship is displayed on the CAIS Reporting Relationships list.
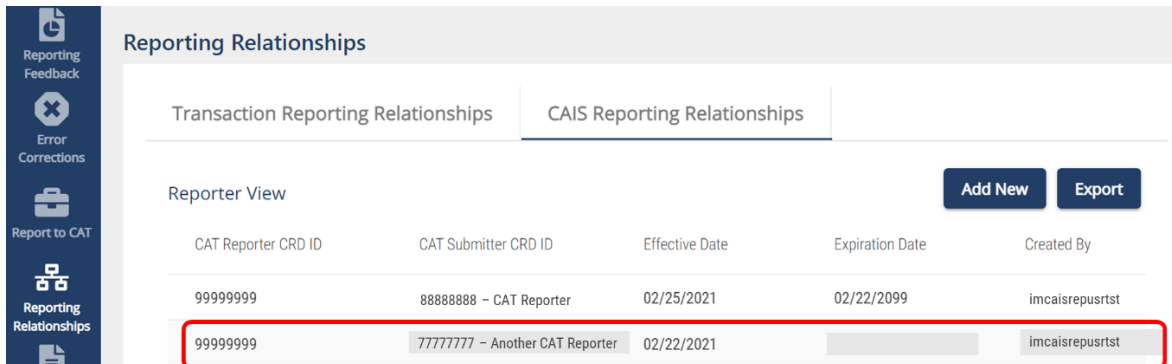
7.3.5. Manage Existing CAIS Reporting Relationships

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 📝 for the relationship.

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

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