

# **Industry Member CAT CAIS Reporter Portal User Guide**

**05/31/2024  
Version 2.4.0**

## **Table of Contents**

Change Log.....	2
Overview .....	3
Companion Resources .....	4
1. Entitlement and User Roles.....	5
2. Technical Requirements .....	6
3. Access Information .....	7
4. Reporting Feedback .....	8
4.1. Reporting Summary.....	8
4.2. Reporting Statistics .....	8
4.2.1. Submission Report.....	8
4.2.2. Inconsistencies Report .....	12
4.2.3. Download Feedback .....	15
4.2.4. FDID Reconciliation Report .....	16
5. Rejections and Inconsistencies .....	19
5.1. Viewing Rejections .....	19
5.2. Rejection Repair.....	25
5.3. Viewing Inconsistencies .....	26
5.4. Material Inconsistency Resolution.....	28
6. Report to CAIS .....	29
6.1. Upload Data to CAIS .....	29
6.1.1. File Processing .....	29
6.1.2. Upload CAIS Data and TIDs Files.....	30
6.2. Manually Report Data to CAIS .....	31
6.3. Download Submission Feedback Files .....	42
7. CAIS Reporting Relationships .....	44
7.1. Usage of Reporting Relationships .....	44
7.2. View CAIS Reporting Relationships .....	44
7.3. Create and Manage CAIS Reporting Relationships .....	45
7.3.1. CAIS Reporting Relationship Fields, Rules, and Validations .....	45
7.3.2. Duplicate and Overlapping CAIS Reporting Relationships.....	46
7.3.3. View and Export CAIS Reporting Relationships .....	46
7.3.4. Add a CAIS Reporting Relationship .....	47
7.3.5. Manage Existing CAIS Reporting Relationships.....	48

## 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 screenshots 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
2.4.0	05/31/2024	Updated screenshots in Section 5.1

## **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](mailto: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:

<b>Production</b>	<a href="https://srg.catnms.com/cais/">https://srg.catnms.com/cais/</a>
<b>Production Mirror</b>	<a href="https://srg.prodmirror.ct.catnms.com/cais/">https://srg.prodmirror.ct.catnms.com/cais/</a>
<b>Industry Test</b>	<a href="https://srg.ct.catnms.com/cais/">https://srg.ct.catnms.com/cais/</a>

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



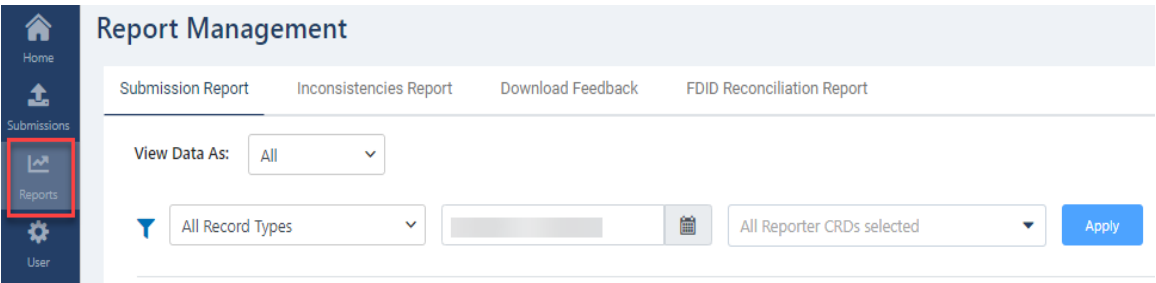
## 4. Reporting Feedback

### 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.

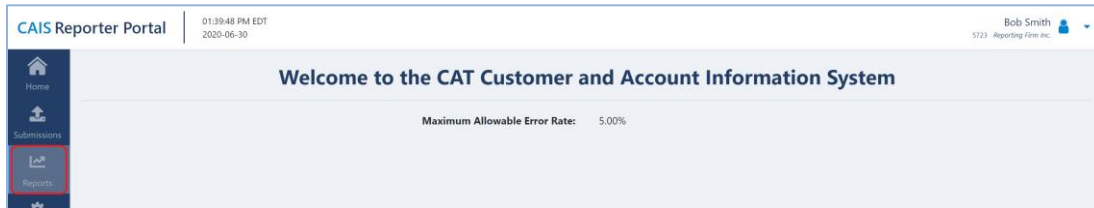
### 4.2. Reporting Statistics

#### 4.2.1. Submission Report

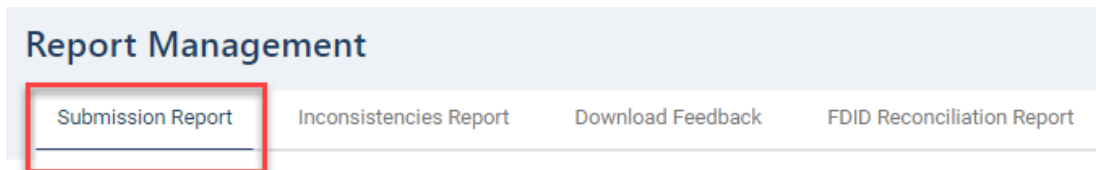
The CAIS Portal provides a breakdown of statistics by submission file for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view submissions for the previous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

To view a submission report for the organization:

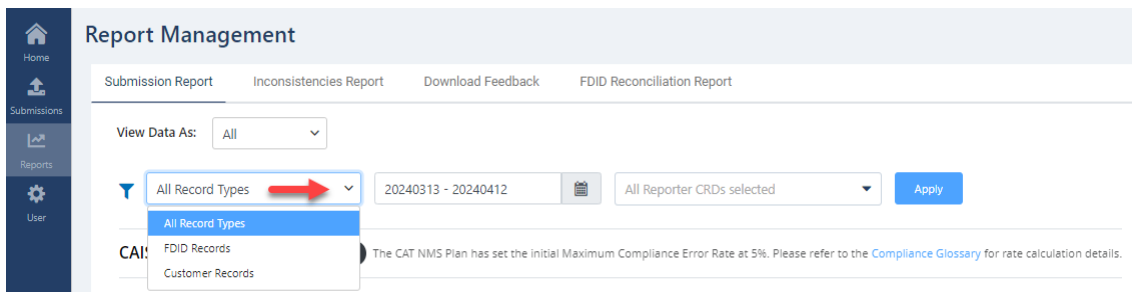
1. Select **Reports**.



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.

The screenshot displays the 'Report Management' interface. At the top, there are tabs for 'Submission Report', 'Inconsistencies Report', 'Download Feedback', and 'FDID Reconciliation Report'. Below the tabs, there are filters for 'View Data As: All', 'All Record Types', a date range of '20240319', and 'All Reporter CRDs selected'. A 'CAIS Compliance Error Rate' of 23.1140% is shown, with a note that the CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Below this, 'FDID Aggregated Statistics' are presented as a series of cards: 7,833 Records Processed, 5,079 Records Accepted, 2,754 Records Rejected, 1,006 Timely Repairs, 0 Late Repairs, 1,748 Outstanding Records, and a 22.32% FDID Error Rate. The 'Submission Report' section includes a 'Show columns' dropdown, a 'Refresh' button, a 'Download' button, and a 'Display Settings' button. Below these is a table with columns for 'Version', 'Submission ID', 'Submission Date', 'File Name', 'Status', 'Processed', 'Accepted', 'Rejected', and 'Timely Repairs'. A single row is visible with the following data: Version 157925, Submission ID 9999999, Submission Date 2024-03-19 08:29:18 EDT, File Name 9999999\_9999999\_20240319\_082918\_CAI5\_392385.json.bz2, Status Completed - Without Rejections, Processed 20, Accepted 20, Rejected 0, and Timely Repairs 0.

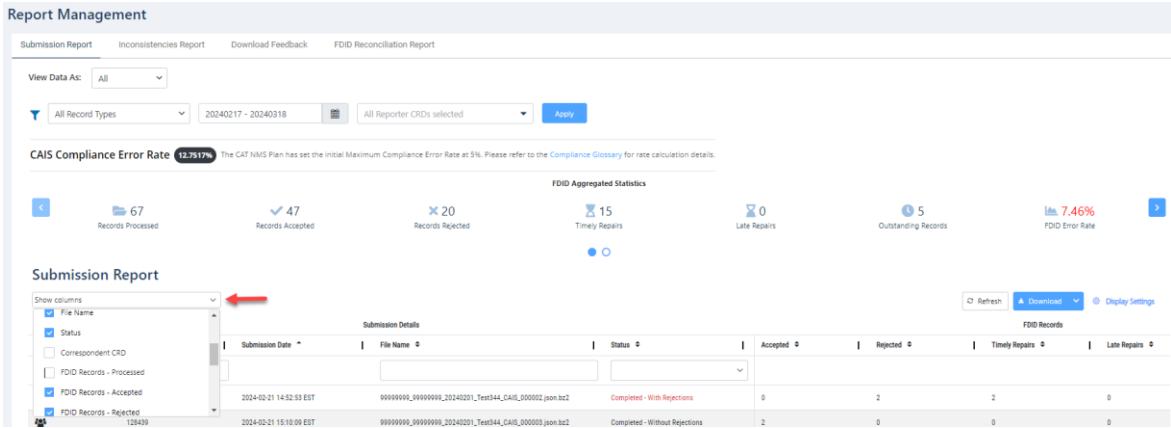
CAIS displays the following information for the specified display criteria:

- **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.

This screenshot is similar to the one above but shows a different date range of '20240329 - 20240402'. The 'CAIS Compliance Error Rate' is now 85.9471%. The 'FDID Aggregated Statistics' cards show: 1,374,614 Records Processed, 185,929 Records Accepted, 1,188,685 Records Rejected, 4,262 Timely Repairs, 0 Late Repairs, 1,184,423 Outstanding Records, and an 86.16% FDID Error Rate. In the 'Submission Report' section, the 'Download' button is highlighted with a red box.

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:
  - Processing
  - Without Rejections
  - With Rejections
  - 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.

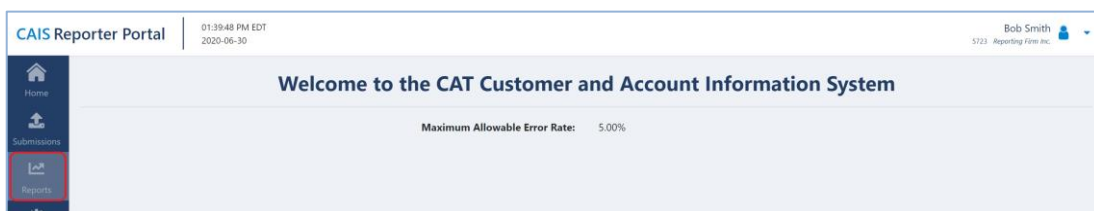
#### 4.2.2. Inconsistencies Report

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

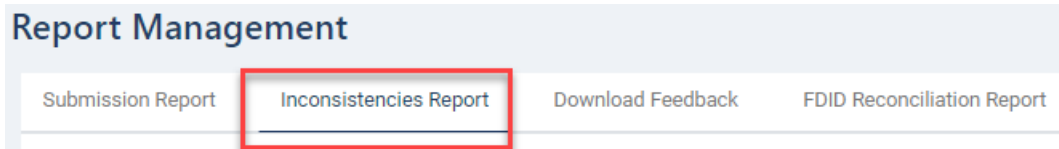
A further breakdown of inconsistencies by Customer Record may also be viewed on the Inconsistencies tab within Submission Management (see [Section 5.3](#)).

#### To view an Inconsistencies Report:

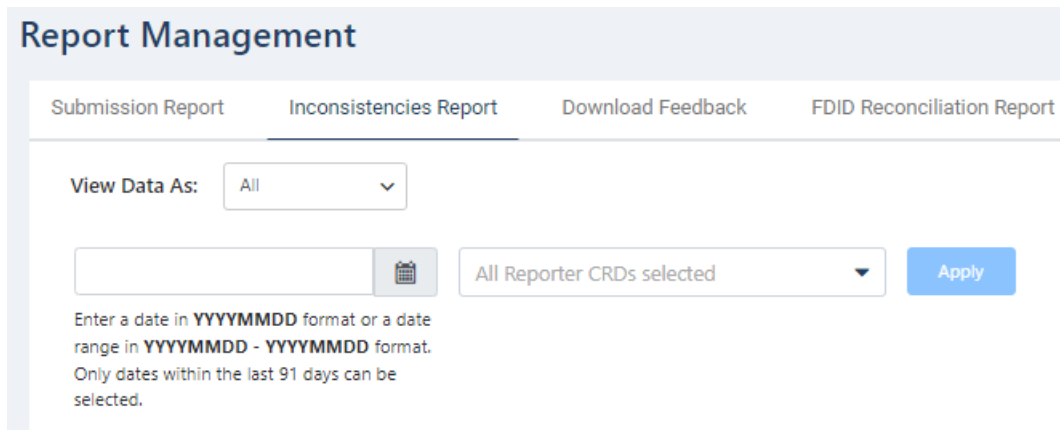
1. Select **Reports**.



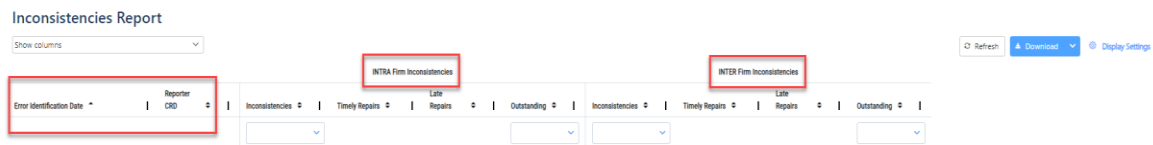
2. Select **Inconsistencies Report**.



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.

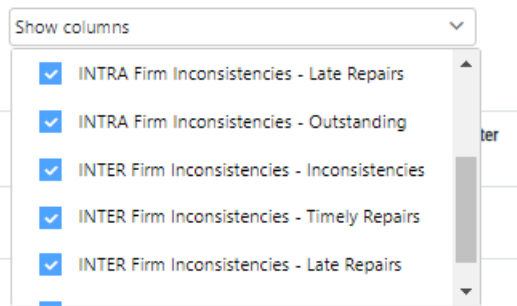


4. The Inconsistencies Report provides statistics by Error Identification Date and Reporter CRD. INTRA Firm Inconsistencies and INTER Firm Inconsistencies are displayed by default.



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

Show columns

Refresh Download Display Settings

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	9	0	7	2	10	0	8
2024-01-24	77777777	99999999		0	0	0	0	3	0	0	3

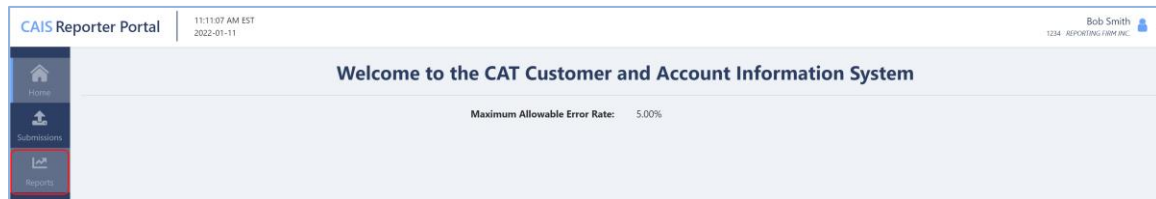
### 4.2.3. Download Feedback

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:

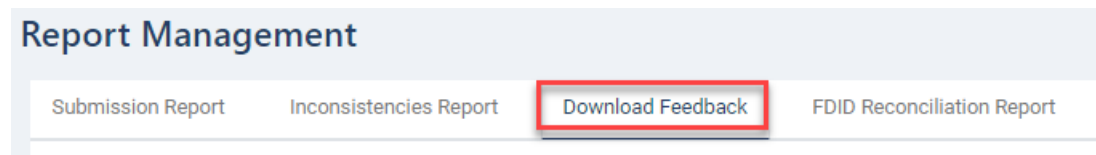
- Material Inconsistencies found during the once-daily scan as well as Material Inconsistencies that remain unresolved at the time of the daily scan (delivered in feedback consisting of a metadata file and data file set).
- Rejections identified during Data Validation that remain unrepaired at the time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

To view 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
	<input type="text"/>	
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

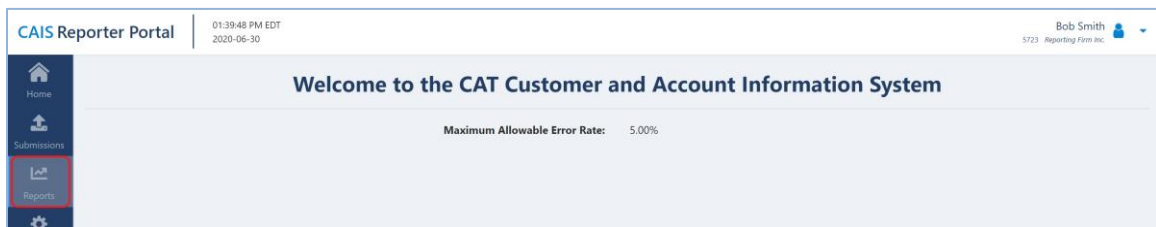
The CAIS Portal provides a means for Industry Members and Submitters to reconcile FDID and LTID data stored in CAIS with their own records. Entitled users can upload a newline-delimited text file containing up to 1,000 *firmDesignatedIDs*. CAIS will return a Microsoft Excel-readable delimited text file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

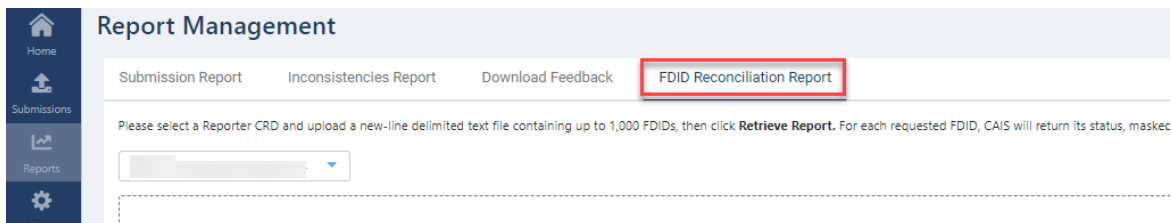
- A list of **partially masked LTIDs** which are associated to each FDID, including those that have been inactivated or are pending inactivation.
- The **LTID Status**, which indicates whether the LTID association is:
  - **Active:** The FDID-to-LTID association does not have an End Date and End Reason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

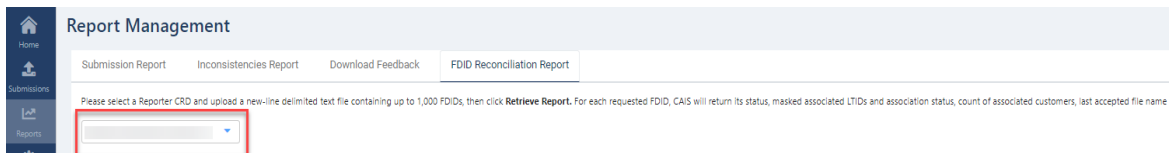
1. **Select Reports.**



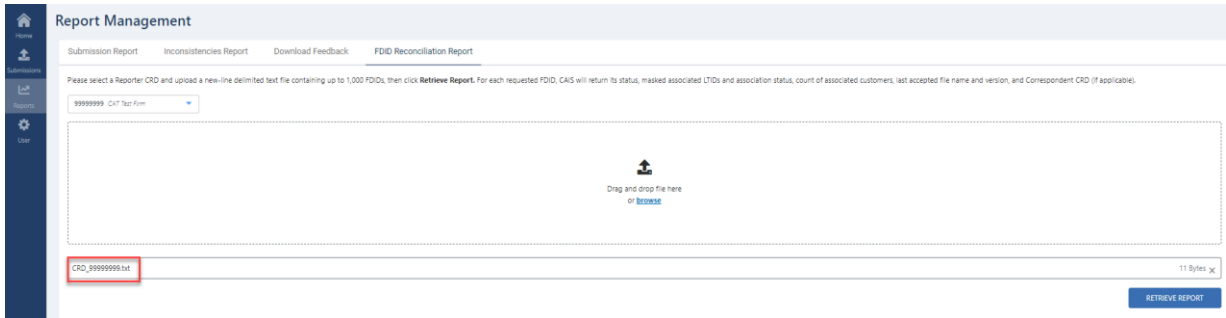
2. **Select FDID Reconciliation Report.**



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



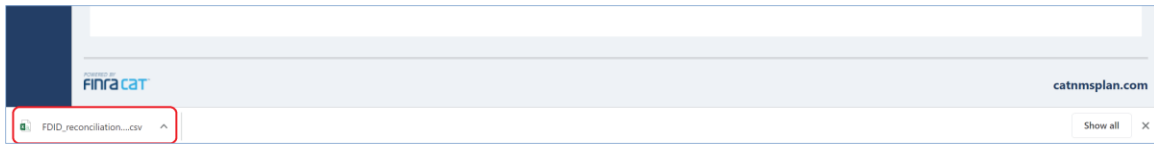
- Upload a newline-delimited text file containing up to 1,000 FDIDs.



- Select **Retrieve Report**.



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



- 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

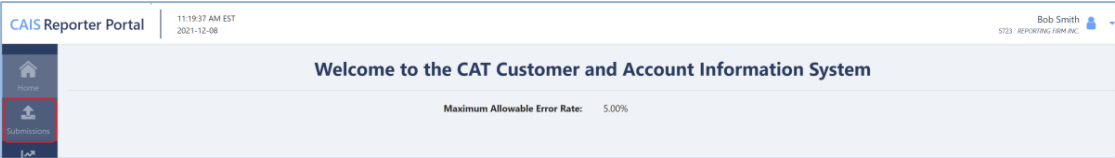
The CAIS Portal allows users to review and manage rejected records and inconsistencies. This includes the ability to view a high-level summary, view rejection and inconsistency details and repair/resolve the errors.

### 5.1. Viewing Rejections

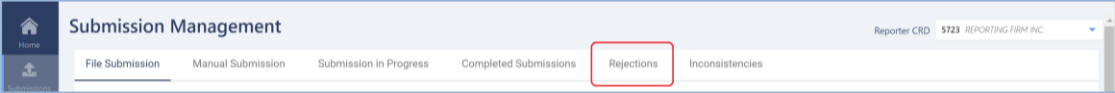
The CAIS Portal provides a breakdown of errors by FDID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view repaired rejections for the previous 10 calendar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



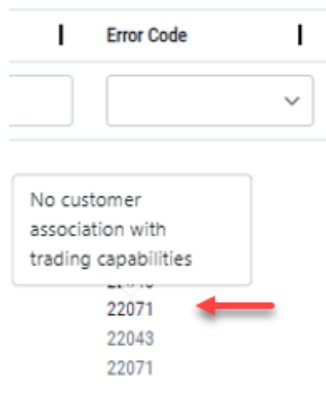
The table within the Account Rejections tab includes the following columns which the user may choose to display:

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

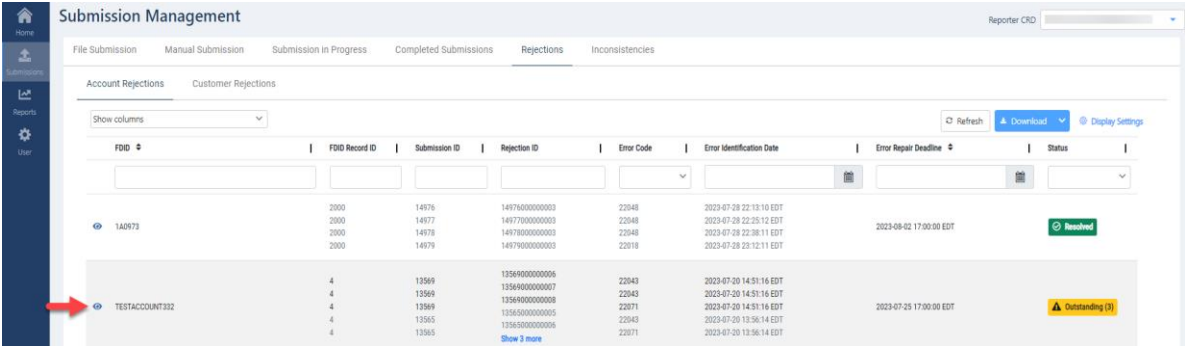
- FDID Record ID –The *fdidRecordID*, as submitted to CAIS, having the data validation error.
- Submission ID – The unique identifier assigned to the CAIS Data File by CAT CAIS.
- Rejection ID – Identifier assigned by CAT to uniquely identify a rejected record. Note: the page will display a maximum of 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.

FDID	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status
140973	2000	14976	1497600000003	22048	2023-07-28 22:13:10 EDT		Resolved
	2000	14977	1497700000003	22048	2023-07-28 22:25:12 EDT		
	2000	14978	1497800000003	22048	2023-07-28 22:38:11 EDT	2023-08-02 17:00:00 EDT	
	2000	14979	1497900000003	22018	2023-07-28 23:12:11 EDT		
TESTACCOUNT332	4	13569	1356900000006	22043	2023-07-20 14:51:16 EDT		Outstanding (3)
	4	13569	1356900000007	22043	2023-07-20 14:51:16 EDT		
	4	13569	1356900000008	22071	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	
	4	13565	1356500000005	22043	2023-07-20 13:56:14 EDT		
	4	13565	1356500000006	22071	2023-07-20 13:56:14 EDT		

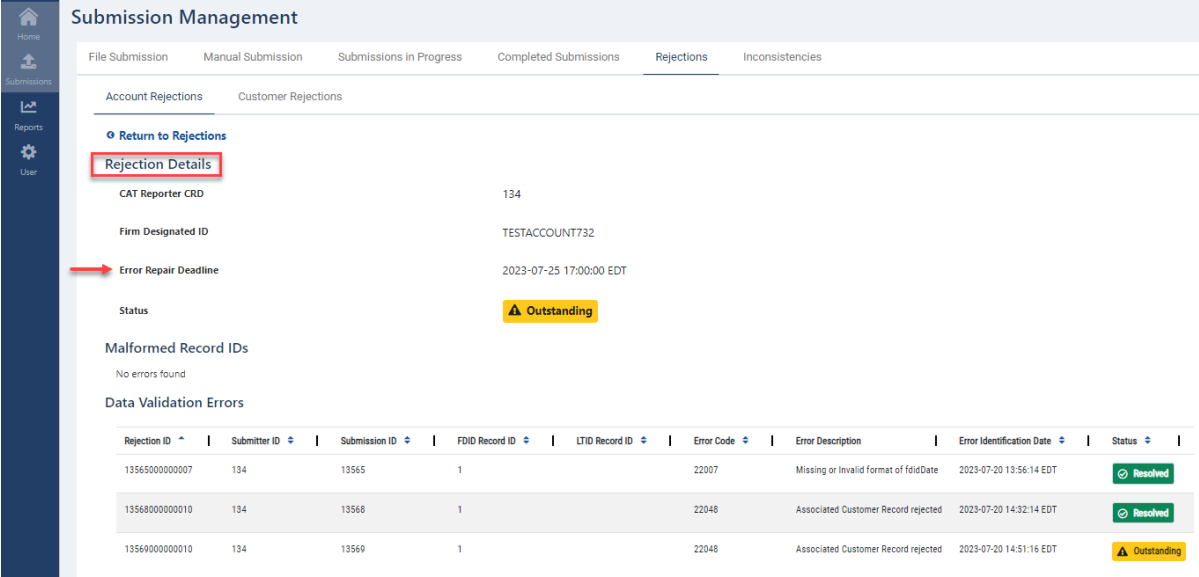
4. To view error descriptions, hover over the error code value.



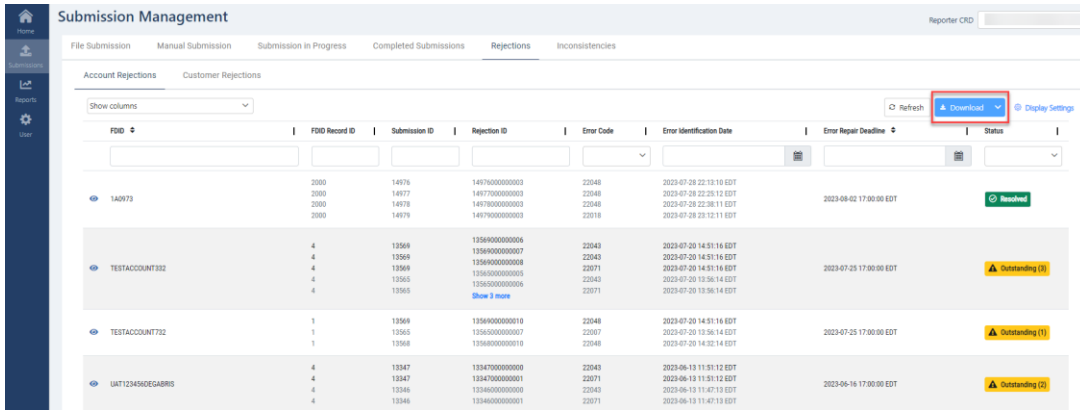
5. To view further details regarding each rejection, click the **View** icon.



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.



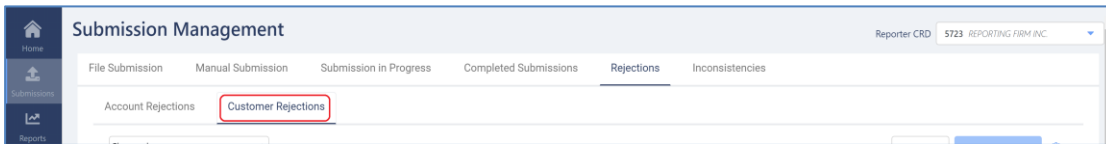
7. To download FDID Record rejections, click the **Download** button. If filters have been applied to the download, only the FDIDs meeting the specified criteria are downloaded.



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.

1	Fdid	Fdid R	Submi	Rejection Id	Error Co	Error Identification Date	Error Repair Deadline	Status
2	TESTACCOUNT332	4	13569	13569000000006	22043	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
3	TESTACCOUNT332	4	13569	13569000000007	22043	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
4	TESTACCOUNT332	4	13569	13569000000008	22071	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
5	TESTACCOUNT332	4	13565	13565000000005	22043	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
6	TESTACCOUNT332	4	13565	13565000000006	22071	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
7	TESTACCOUNT332	4	13568	13568000000006	22043	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
8	TESTACCOUNT332	4	13568	13568000000007	22043	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED
9	TESTACCOUNT332	4	13568	13568000000008	22071	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	RESOLVED

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



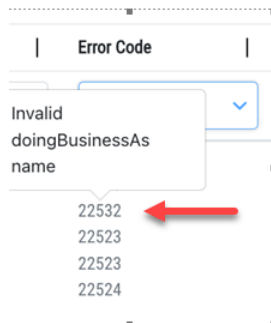
10. Outstanding and repaired rejections are displayed in the table by Customer Rejection Event ID, which is a unique identifier assigned by CAT for the Customer. If the Customer has multiple rejections, all rejections will be grouped by the Customer Rejection Event ID.

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.

Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	Error Repair Deadline	Status
	1356900000000	13569	1,3,6	22514	2023-07-20 14:51:16 EDT		
	1356900000001	13569	1,6	22504	2023-07-20 14:51:16 EDT		
	1356900000002	13569	1,3,6	22516	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	Outstanding
	1356900000003	13569	1,4	22524	2023-07-20 14:51:16 EDT		
	1356900000004	13569	4	22520	2023-07-20 14:51:16 EDT		
	1497600000000	14976	40	22523	2023-07-28 22:12:09 EDT		Resolved
	1497700000000	14977	40	22523	2023-07-28 22:25:12 EDT		Resolved
	1497800000000	14978	40	22523	2023-07-28 22:38:11 EDT		Resolved
	1497900000000	14979	40	22523	2023-07-28 23:12:10 EDT		Resolved
	1497600000001	14976	41	22510	2023-07-28 22:13:09 EDT		Resolved
	1497700000002	14977	41	22510	2023-07-28 22:25:12 EDT		Resolved
	1497800000001	14978	41	22510	2023-07-28 22:38:11 EDT		Resolved
	1497900000002	14979	41	22510	2023-07-28 23:12:10 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.

The screenshot shows the 'Submission Management' interface with the 'Rejections' tab selected. A table lists several rejection events. A red arrow points to the 'View' icon (an eye) for the event with ID '1312854#134#NULL#2023-07-20T17:55:21.614000-00:00'.

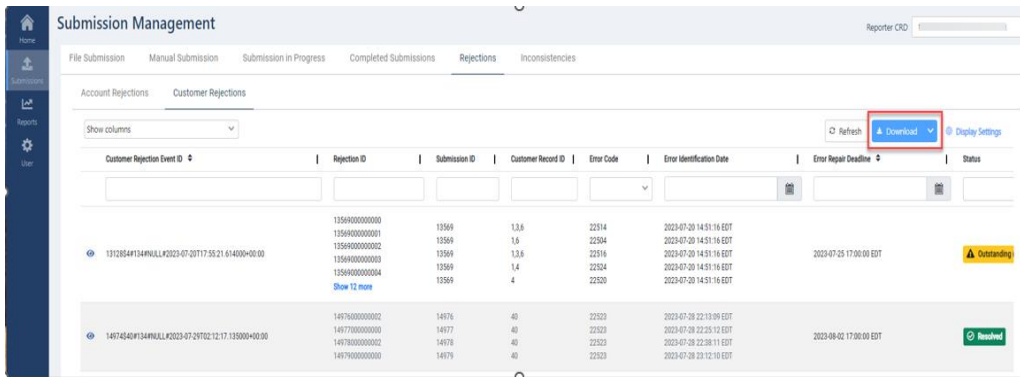
Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record ID	Error Code	Error Identification Date	Error Repair Deadline	Status
	1356000000000						
	1356000000001	13569	1,3,6	22314	2023-07-20 14:51:16 EDT		
	1356000000002	13569	1,6	22304	2023-07-20 14:51:16 EDT		
	1356000000003	13569	1,3,6	22316	2023-07-20 14:51:16 EDT		
1312854#134#NULL#2023-07-20T17:55:21.614000-00:00	13569	13569	1,6	22304	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	Outstanding
	1356000000004	13569	4	22320	2023-07-20 14:51:16 EDT		

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.

The screenshot shows the 'Rejection Details' screen for the event ID '1312854#134#NULL#2023-07-20T17:55:21.614000-00:00'. It displays the error repair deadline as '2023-07-25 17:00:00 EDT' and the status as 'Outstanding'. Below, a table lists 'Data Validation Errors'.

Rejection ID	Submitter ID	Submission ID	Customer Record ID	Error Code	Error Description	Error Identification Date	Status
1356000000005	134	13569	1,3,6	22303	Multiple instances of customer with differing data	2023-07-20 14:51:16 EDT	Outstanding
1356000000004	134	13569	4	22320	Missing or invalid countryCode	2023-07-20 14:51:16 EDT	Outstanding
1356000000003	134	13569	1,4	22324	Missing or invalid customerType	2023-07-20 14:51:16 EDT	Outstanding
1356000000002	134	13569	1,3,6	22316	Missing or invalid addrType	2023-07-20 14:51:16 EDT	Outstanding
1356000000001	134	13569	1,6	22304	Missing or invalid format of ein	2023-07-20 14:51:16 EDT	Outstanding
1356000000000	134	13569	1,3,6	22314	Missing ADDRESS type Address Record	2023-07-20 14:51:16 EDT	Outstanding
1356000000004	134	13565	6	22320	Customer Record rejected because another version of the Customer was rejected	2023-07-20 13:56:13 EDT	Resolved
1356000000003	134	13565	1	22316	Missing or invalid addrType	2023-07-20 13:56:13 EDT	Resolved

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
1312854#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
	13569000000001	13569	1,6	22504	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
	13569000000002	13569	1,3,6	22516	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
	13569000000003	13569	1,4	22524	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
	13569000000004	13569	4	22520	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
14817404#134#NULL#2023-07-20T17:55:21.614000+00:00	14976000000002	14976	40	22529	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
	14976000000003	14977	40	22523	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
	14976000000002	14978	40	22523	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	RESOLVED
	14976000000000	14979	40	22523	2023-07-20 13:56:13 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.



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 Management

Reporter CRD:

File Submission | Manual Submission | Submissions in Progress | Completed Submissions | Rejections | **Inconsistencies**

Show columns

Download Feedback | Refresh | Download | Display Settings

Event ID	Submission Date	Customer Record ID	Inconsistency Code	Identification Date	Repair Deadline	Status	Type	Last Accepted File Name
9937835#134#NULL#2024-01-23#42004	2024-01-22 13:25:10 EST	2	40004	2024-01-23 13:43:31 EST	2024-01-25 17:00:00 EST	Outstanding	INTERFIRM	_20240122_CustType2nd_CAIS_000003.json.bz2
9934535#134#NULL#2024-01-24#00004	2024-01-23 09:22:52 EST	2	30004	2024-01-24 10:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTRAFIRM	_20240123_CustType2nd_CAIS_000012.json.bz2
1497142#0134#999999999#2024-01-24#40002	2024-01-23 18:21:00 EST	40	40002	2024-01-24 10:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTERFIRM	_20240123_InnerQBFirmC_CAIS_000004.json.bz2

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

Submission Management

Reporter CRD:

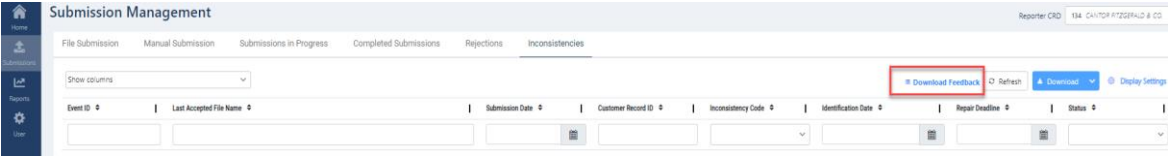
File Submission | Manual Submission | Submissions in Progress | Completed Submissions | Rejections | **Inconsistencies**

Show columns

Download Feedback | Refresh | Download | Display Settings

Event ID	Submission Date	Customer Record ID	Inconsistency Code	Identification Date	Repair Deadline	Status	Type	Last Accepted File Name
9937835#134#NULL#2024-01-23#42004	2024-01-22 13:25:10 EST	2	Foreign "TC" reported as both Natural Person and Legal Entity within the industry Member	2024-01-23 13:43:31 EST	2024-01-25 17:00:00 EST	Outstanding	INTERFIRM	_20240122_CustType2nd_CAIS_000003.json.bz2
9934535#134#NULL#2024-01-24#00004	2024-01-23 09:22:52 EST	2	30004	2024-01-24 10:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTRAFIRM	_20240123_CustType2nd_CAIS_000012.json.bz2

- 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).

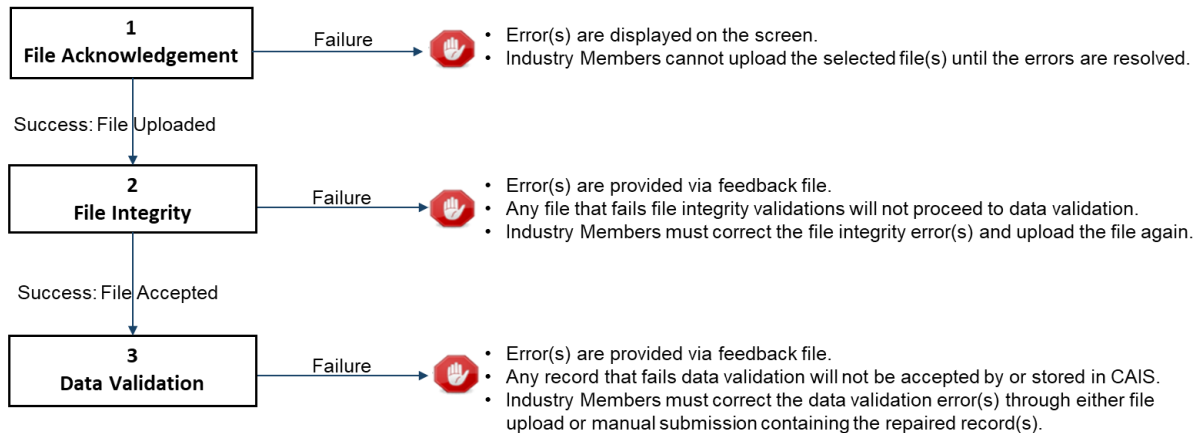
Because data submitted to CAIS cannot be returned to the Industry Member submitting the data, inconsistency resolution via manual submission requires resubmitting the FDID Record in its current state (with all LTID and Customer associations), with the Update Notification field populated with ‘Yes’. See 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.

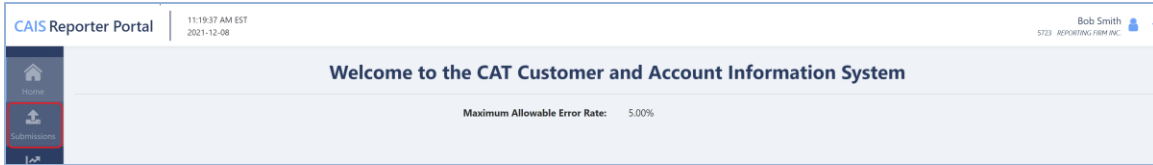
### 6.1.2. **Upload CAIS Data and TIDs Files**

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..

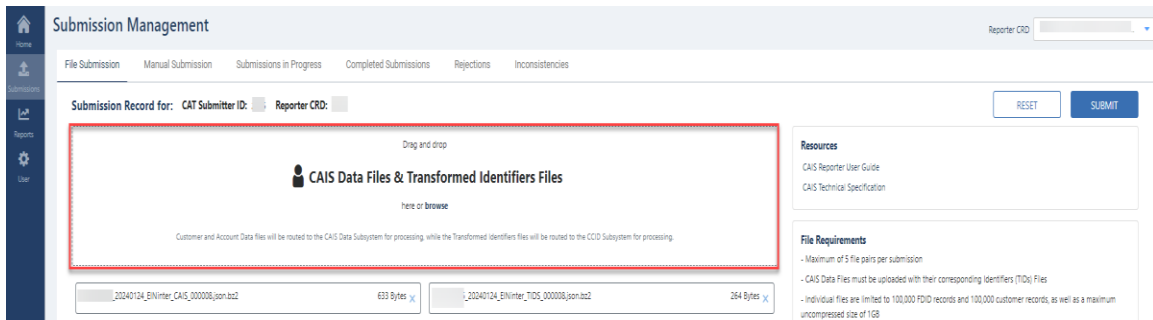
A single submission may not exceed five paired file sets or 1GB (uncompressed). There is no limit to the number of submissions that a user may provide.

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

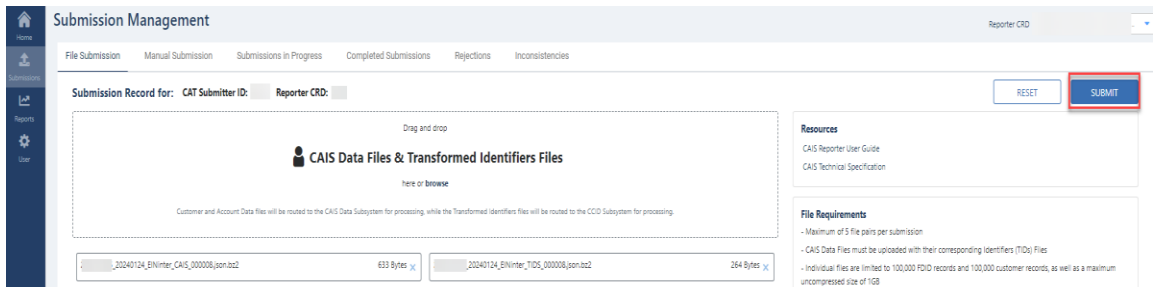
1. Select **Submissions**.



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:

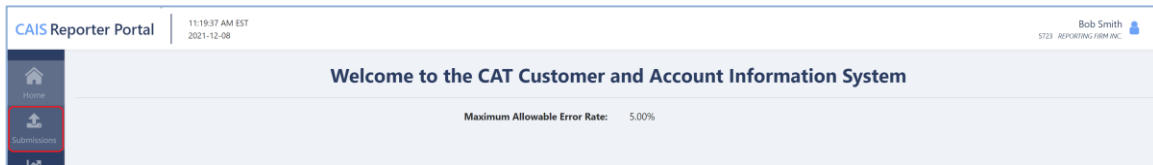


- Entering data for the FDID Record.
- Adding one or more LTID/ULTID associations, if applicable.
- Adding one or more CAT Customer associations.

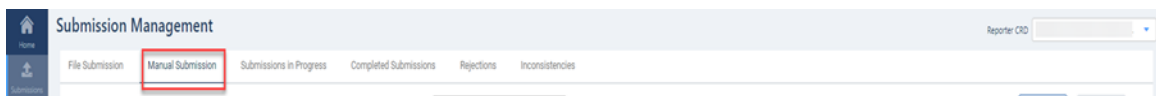
For more information on the reporting requirements for FDID, CAT Customer and LTID records, see the Customer & Account Technical Specifications for Industry Members.

**To manually submit records:**

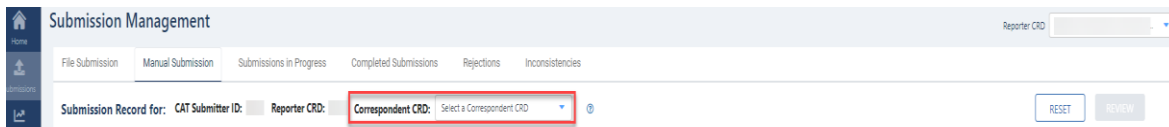
**1. Select Submissions.**



**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 FDID Record:**

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

The screenshot shows a form titled "FDID Record" with the following fields:

- Firm Designated ID:** Text input field with placeholder "Enter up to 40 characters".
- FDID Type:** Dropdown menu with "Select" as the current selection.
- Account Type:** Dropdown menu with "Select one or more" as the current selection.
- Account Name:** Text input field with placeholder "Enter up to 200 characters".
- FDID Date:** Text input field with placeholder "YYYYMMDD" and a calendar icon.
- DVP Custodian ID:** Text input field with placeholder "Enter one or more".
- Clearing Broker ID:** Text input field with placeholder "Enter one or more".
- Branch Office CRD:** Text input field with placeholder "Enter one".
- Registered Representative CRD:** Text input field with placeholder "Enter one or more".
- FDID End Date:** Text input field with placeholder "YYYYMMDD" and a calendar icon.
- FDID End Reason:** Dropdown menu with "Select an End Date" as the current selection.
- Received from another firm?:** A checkbox labeled "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.
- 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.

The screenshot shows the 'Submission Management' interface. At the top, there are navigation tabs: 'File Submission', 'Manual Submission', 'Submissions in Progress', 'Completed Submissions', 'Rejections', and 'Inconsistencies'. Below these, there are fields for 'Submission Record for: CAT Submitter ID', 'Reporter CRD', and 'Correspondent CRD'. A red box highlights the 'ADD ASSOCIATION' button. Below this, there is a section for 'New LTID Association' with a 'Cancel' button. The main form area is titled 'LTID Association' and contains the following fields: 'Large Trader ID' (with a hint 'Enter an 8- or 13-character LTID or ULTID'), 'Effective Date' (YYYYMMDD), 'End Date' (YYYYMMDD), and 'End Reason' (a dropdown menu with the hint '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.

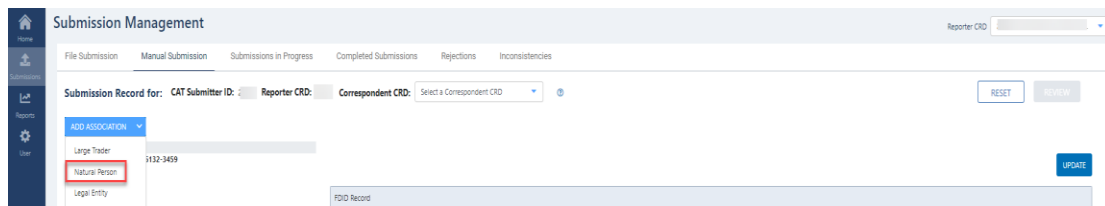
5.4 Once the appropriate fields have been populated for the LTID/ULTID, click the **Add** button to add the data to the submission file.

- If one or more additional LTIDs/ULTIDs need to be added, 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:

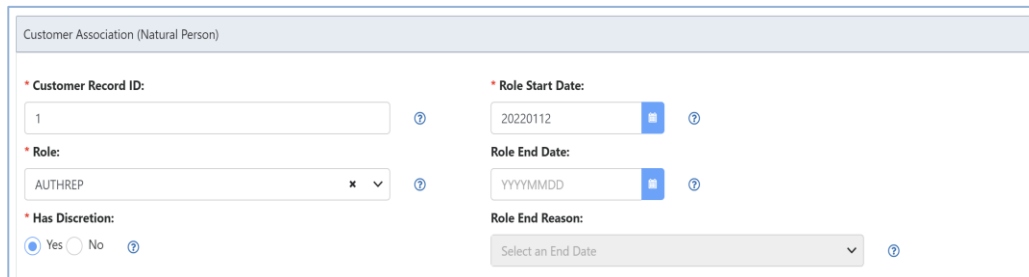
6.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

## 6.2. Select **Natural Person** from the dropdown.



The screenshot shows the 'Submission Management' interface. At the top, there are navigation tabs: 'File Submission', 'Manual Submission', 'Submissions in Progress', 'Completed Submissions', 'Rejections', and 'Inconsistencies'. Below these, there are input fields for 'CAT Submitter ID', 'Reporter CRD', and 'Correspondent CRD'. A dropdown menu labeled 'ADD ASSOCIATION' is open, showing three options: 'Large Trader', 'Natural Person' (which is highlighted with a red box), and 'Legal Entity'. An 'UPDATE' button is visible on the right side of the form.

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



The screenshot shows the 'Customer Association (Natural Person)' form. It contains the following fields:

- Customer Record ID:** A text input field containing the value '1'.
- Role:** A dropdown menu with 'AUTHREP' selected.
- Has Discretion:** Radio buttons for 'Yes' (selected) and 'No'.
- Role Start Date:** A date picker showing '20220112'.
- Role End Date:** A date picker showing 'YYYYMMDD'.
- Role End Reason:** A dropdown menu with 'Select an End Date' selected.

- 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.
- Role:** Select one Role value for the associated Customer Record.
- 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.
- Role Start Date:** Enter a value in the format of YYYYMMDD or select a date using the date picker.
- 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.
- 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: John

Middle name: Enter up to 20 characters

\* Last name: Smith

Suffix: Select

Doing Business As: Enter up to 200 characters

\* Customer Type: CP EMPLOYEE

\* Year of Birth: 1984

Update Notification:  Yes

- 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

\* 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**.

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.

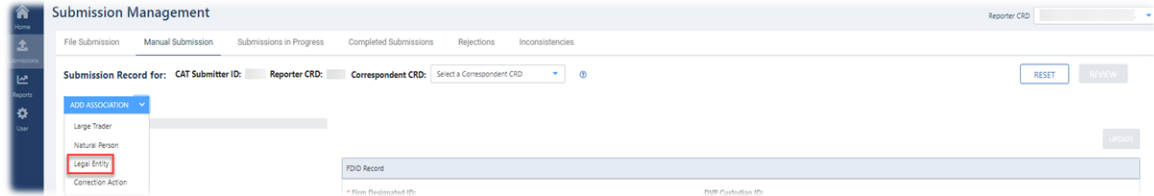
- If this association needs to be modified after this step, click the Natural Person record in the FDID Record Associations section, then make appropriate modifications.
- If this association needs to be removed after this step, click the Natural Person record in the FDID Record Associations section,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

- If one or more additional Natural Person records need to be added, 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.



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

 A screenshot of the 'Customer Association (Legal Entity)' form. The form contains several fields:
 

- \* Customer Record ID:** A text input field containing the value '1'.
- \* Role:** A dropdown menu with 'TRDHOLDER' selected.
- \* Role Start Date:** A date picker field showing '20220101'.
- Role End Date:** A date picker field showing 'YYYYMMDD'.
- Role End Reason:** A dropdown menu with 'Select an End Date' selected.

 Each field has a blue question mark icon to its right.

- 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.
- Role:** Select one Role value for the associated Customer Record.
- 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.
- Role Start Date:** Enter a value in the format of YYYYMMDD or select a date using the date picker.
- 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.
- 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:**

**EIN:**

**LEI:**

**Update Notification:**  
 Yes

- 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.
- 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.
- Customer Type:** Select one or more applicable Customer Types for the Customer Record.
- 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).

Transformed Identifier

\* **Transformed Identifier:**

\* **TID Type:**  
 EIN  
 FOREIGN

\* **Foreign TID Type:**

\* **TID Country Code:**

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**. Enter the **Input Identifier** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable), then click **Generate**.

**Transformed Identifier Generation** [X]

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:  
 ⓘ

\* Foreign TID Type:  
 ⓘ

\* TID Country Code:  
 ⓘ

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

\* Address Type: ADDRESS1

\* Address Line 1:

+ Add Address Line

\* City:

\* Country Code:

\* Region Code:  
 ⓘ

\* Postal Code:  
 ⓘ

ADD ADDRESS Remove Address

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.

Submission Management

Reporter CRD: [dropdown]

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Submission Record for: CAT Submitter ID: Reporter CRD: Correspondent CRD: [dropdown] ⓘ

RESET REVIEW

## 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

Please save a copy of this page for your records.

Verify that the following are true:

- At least one customer for this account holds the Role of TRICHOLDER or AUTHREP/AUTHORD with Max Discretion set to TRUE

Quick Look

TESTGUIDE77  
Customer Record ID 13: PortalGuide

CAIS Data File Name	5_20240322_caivweb_CAIS_178601_jan202
POD Record	TESTGUIDE77
Firm Designated ID	TESTGUIDE77
Firm Type	ACCOUNT

BACK SUBMIT

## 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 Submitter ID: [ ] Reporter CRD: [ ] Correspondent CRD: N/A

Please save a copy of this page for your records.

Verify that the following are true:

- At least one customer for this account holds the Role of TRICHOLDER or AUTHREP/AUTHORD with Max Discretion set to TRUE

Quick Look

TESTGUIDE77  
Customer Record ID 13: PortalGuide

CAIS Data File Name	5_20240322_caivweb_CAIS_178601_jan202
POD Record	TESTGUIDE77
Firm Designated ID	TESTGUIDE77
Firm Type	ACCOUNT

BACK 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**.

CAIS Reporter Portal

11:19:37 AM EST  
2021-12-08

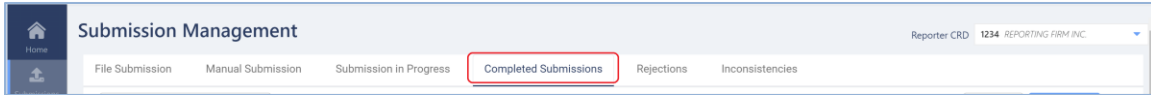
Bob Smith  
5733 REPORTING FIRM INC.

Welcome to the CAT Customer and Account Information System

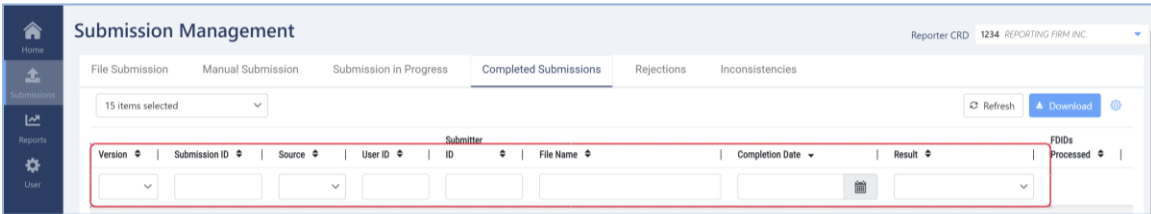
Maximum Allowable Error Rate: 5.00%

Home 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

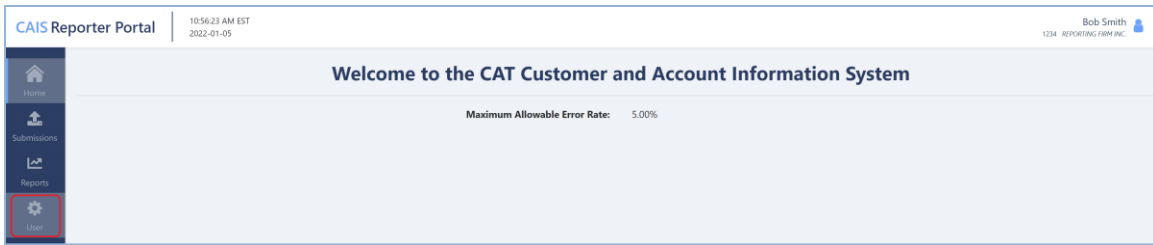
A reporting relationship allows the Submitter to transmit data on behalf of the Industry Member. This includes the ability to submit data, to view feedback and repair rejections, resolve Inconsistencies and make corrections to that data. **A Submitter may only view feedback, repair/resolve errors and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

### 7.2. View CAIS Reporting Relationships

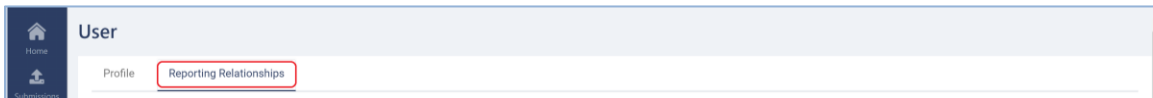
CAIS Reporting Relationships are **view-only** in the CAIS application from the perspective of the Submitter ID and cannot be used to create and manage CAIS Reporting Relationships. See the following section for information on creating and managing CAIS Reporting Relationships in the CAT Transaction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

To view all Reporting Relationships for the organization:

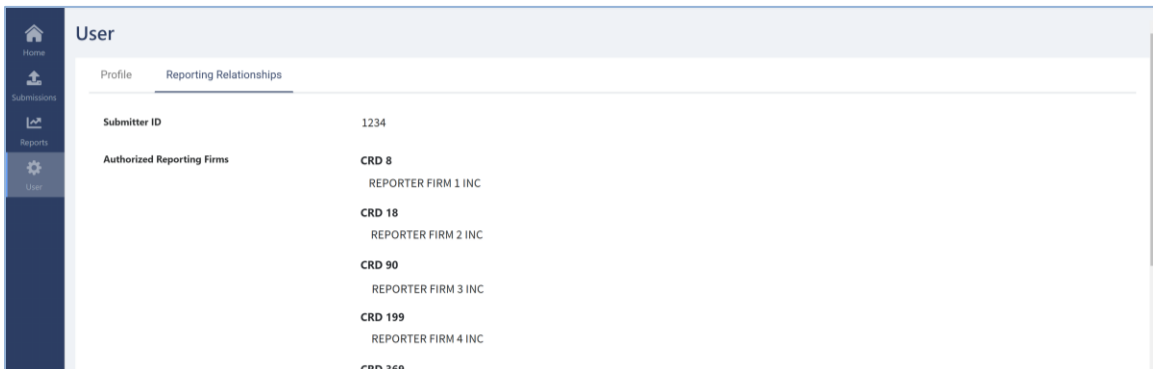
1. Select **User**.



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.

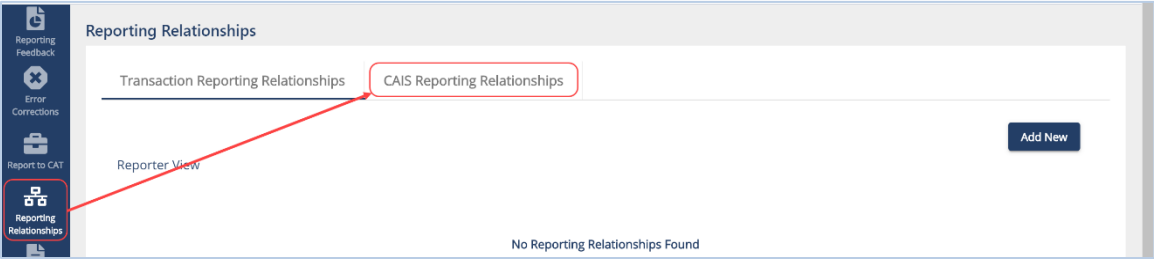
**7.3.2. Duplicate and Overlapping CAIS Reporting Relationships**

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**.



- 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 Relationships

Transaction Reporting Relationships CAIS Reporting Relationships

Reporter View Add New Export

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
99999999	88888888	04/23/2021	04/24/2399	imcaisrepuorstst	04/23/2021 08:28:15	imcaisrepuorstst	04/23/2021 08:30:31

- 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.

Reporting Relationships

Transaction Reporting Relationships CAIS Reporting Relationships

Reporter View Add New Export

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepuorstst	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:

- Click **Add New**.

Reporting Relationships

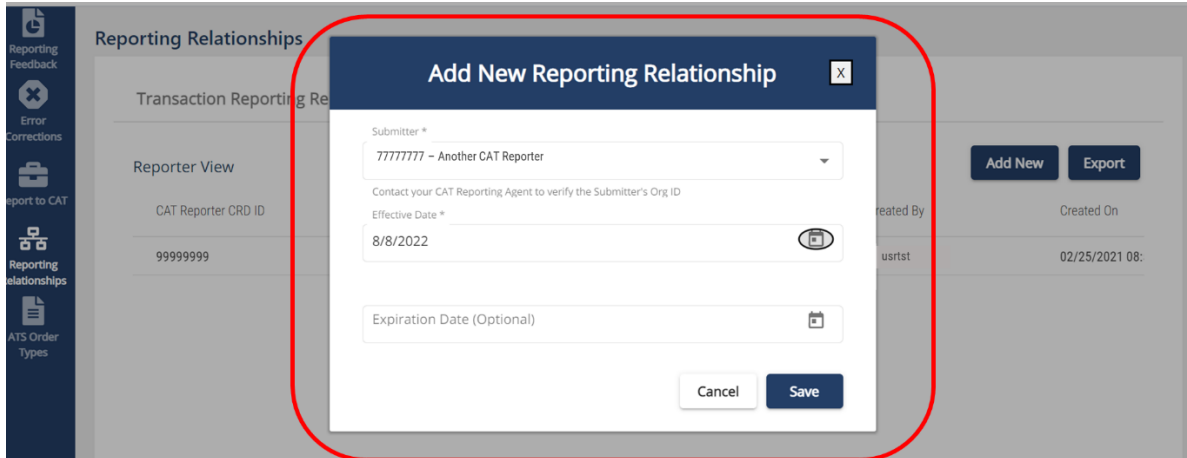
Transaction Reporting Relationships CAIS Reporting Relationships

Reporter View Add New Export

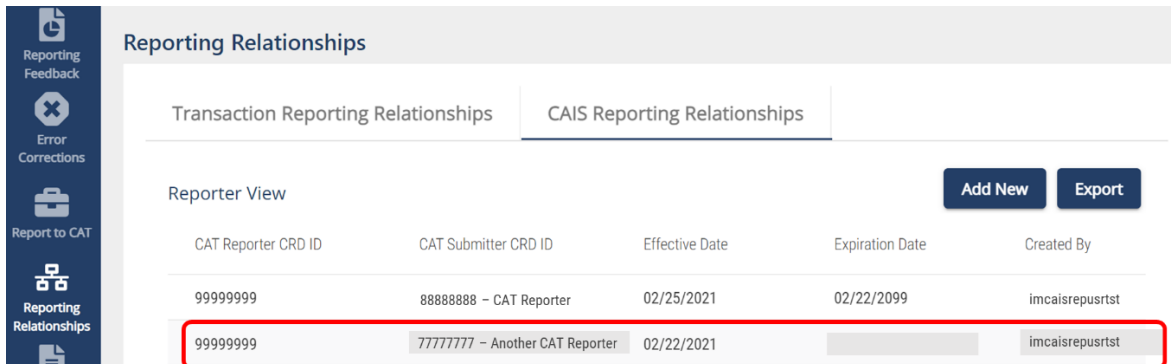
CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepuorstst	02/25/2021 08:

- 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.

Reporting Relationships

Transaction Reporting Relationships | CAIS Reporting Relationships

Reporter View Add New Export

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
99999999	77777777 - Another CAT Reporter	02/25/2021	02/22/2099	calpoore	02/25/2021 08:57:06	imcaisrepusrst	02/25/2021 08:57:19	✎

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

Transaction Reporting Relationships | CAIS Reporting Relationships

**Edit Reporting Relationship** ✕

Submitter:

Contact your CAT Reporting Agent to verify the Submitter's Org. ID

Effective Date:

Expiration Date (Optional):

Cancel Update

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Updated By	Updated On	
40000					08/04/2020 10:54:38	✎
40000					08/04/2020 10:36:07	✎
40000					08/03/2020 11:31:09	✎
40000					08/03/2020 11:26:48	✎
40000					08/03/2020 11:24:07	✎
40000					08/03/2020 11:23:33	✎
40000					08/03/2020 11:14:24	✎

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

Reporting Relationships

Transaction Reporting Relationships | CAIS Reporting Relationships

Reporter View Add New Export

CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepusrst
99999999	77777777 - Another CAT Reporter	02/22/2021	08/17/2022	imcaisrepusrst