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# Industry CAT CAIS Release Status

July 10, 2024

# Today's Report Card Webinar

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Immediately following this CAIS Industry Checkpoint call, will be the Industry Member CAIS Report Card Webinar. This webinar will provide an overview of the CAIS Report Card to be implemented beginning with the month of June 2024.

# Agenda

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

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# CAIS Releases

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# CAIS Industry Member Release Rollout

## CAIS Report Card Release

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

## Year End Release Industry Test: 9/16/2024 Production: 12/9/2024

- New validations:
  - Error Code 22543: Invalid combination of *ein* and *tidType*
  - Error Code 22544: Conflicting *ein* and *tidValue*
  - Error Code 22546: Unknown attribute on Customer Record
- Disable Inconsistency Codes 30003 and 40003. No *new* 30003 and 40003 Inconsistency Codes (any previously generated 30003 and 40003 Inconsistency Codes that remain outstanding must be resolved)
- Extend maximum length of *firstName* and *middleName* to 200 characters
- Include up to 10 *firmDesignatedID* associations in the Outstanding Material Inconsistencies Data Feedback File.
- Bug Fixes

## FDID Refresh Report Release

Industry Test: No later than 11/30/2024  
Production: 12/9/2024

- **The first FDID Refresh report will be delivered for compliance with the Periodic Customer & Account Information Refresh requirement no later than 5:00 p.m. Eastern Time on April 3, 2025.**

# File Submission Statistics

## Weekly End Of The Day – Monday (Bi-Weekly), 6/27/24 – 7/03/24

CAIS Processing Date	Total Submitters	Total CAT Reporters	Total Files Submitted To CAIS	Accepted Files	Rejected Files	File Rejection Rate
6/27/2024	98	901	2,622	2,612	10	0.38%
6/28/2024	96	928	3,139	3,127	12	0.38%
6/29/2024	24	832	2,169	2,163	6	0.28%
6/30/2024	7	9	20	19	1	5.00%
7/01/2024	89	208	515	510	5	0.97%
7/02/2024	106	898	2,638	2,601	37	1.40%
7/03/2024	92	908	2,666	2,650	16	0.60%

# FDID Daily Submission Statistics

## FDID Daily Submission Statistics / Feedback (T+3), 6/27/24 – 7/03/24

CAIS Processing Date	Processed FDID Record Count	Rejected FDID Record Count	Initial FDID Rejection Rate	Outstanding FDID Record Count (T+3)	As of T+3 FDID Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 FDID Rate (includes lates)
6/27/2024	5,072,724	347,993	6.86%	326,569	6.44%	9,664	6.63%
6/28/2024	4,683,662	59,721	1.28%	19,154	0.41%	18,690	0.81%
7/01/2024	1,099,815	6,846	0.62%	757	0.07%	1,816	0.23%
7/02/2024	2,927,573	42,838	1.46%	12,973	0.44%	12,182	0.86%
7/03/2024	4,706,503	49,399	1.05%	17,091	0.36%	21,272	0.82%

# Customer Daily Submission Statistics

## Customer Daily Submission Statistics / Feedback (T+3), 6/27/24 – 7/03/24

CAIS Processing Date	Processed Customer Record Count	Rejected Customer Record Count	Initial Customer Rejection Rate	Outstanding Customer Record Count (T+3)	As of T+3 Customer Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Customer Rejection Rate (includes lates)
6/27/2024	4,702,983	321,593	6.84%	292,489	6.22%	12,874	6.49%
6/28/2024	4,617,360	78,292	1.70%	24,024	0.52%	24,226	1.04%
7/01/2024	321,211	8,524	2.65%	1,317	0.41%	1,560	0.90%
7/02/2024	2,604,613	56,714	2.18%	17,361	0.67%	13,726	1.19%
7/03/2024	4,269,645	68,261	1.60%	22,909	0.54%	25,808	1.14%

# Overall Daily Submission Statistics

## Overall Daily Submission Statistics / Feedback (T+3), 6/27/24 – 7/03/24

CAIS Processing Date	Processed Overall Record Count	Rejected Overall Record Count	Initial Overall Rejection Rate	Outstanding Overall Record Count (T+3)	As of T+3 Overall Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Overall Rate (includes lates)
6/27/2024	9,775,707	669,586	6.85%	619,058	6.33%	22,538	6.56%
6/28/2024	9,301,022	138,013	1.48%	43,178	0.46%	42,916	0.93%
7/01/2024	1,421,026	15,370	1.08%	2,074	0.15%	3,376	0.38%
7/02/2024	5,532,186	99,552	1.80%	30,334	0.55%	25,908	1.02%
7/03/2024	8,976,148	117,660	1.31%	40,000	0.45%	47,080	0.97%

# CAIS Rejection Observations

Rejection Source	Top Rejection Reasons
<b>File</b>	<ul style="list-style-type: none"><li>• Unauthorized CAT Submitter ID</li><li>• Duplicate File</li><li>• Paired Transformed Identifiers File not received</li></ul>
<b>FDID</b>	<ul style="list-style-type: none"><li>• Associated Customer Record rejected</li><li>• Multiple active roles for Customer within <i>fdidCustomerList</i></li><li>• No Customer association with trading capabilities</li><li>• Missing or Invalid customerRecordID within <i>fdidCustomerList</i></li><li>• Missing 'ADDRESS1' type Address Record on the FDID Record</li></ul>
<b>Customer</b>	<ul style="list-style-type: none"><li>• Customer Record rejected because an associated FDID Record was rejected</li><li>• Malformed TID Record – CAT Customer Record not processed</li><li>• customerRecordID not present in paired Transformed Identifiers File</li><li>• Legal Entity CAT Customer reported with improper <i>tidType</i></li><li>• Multiple instances of Customer with differing data</li></ul>

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

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# CAIS Open Issues List – As of 7/10/2024

## Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
1	Open	N/A	Files containing more than 6 million total records (FDIDs + Customers) with multiple errors within the file may not return feedback in the times specified within the Full CAIS Technical Specifications.	Code Release	Low	Fix: TBD	Fix: TBD	Feedback Files
2	Updated-Open	N/A	Incorrectly accepting submissions that include an Extended Text character and/or a prohibited delimiter in the <i>postalCode</i> field. These submissions should reject with a 22034 or 22522 error. Prohibited delimiters for Text fields are comma, pipe, double quote, and the '@' symbol.	Code Release	Low	Fix: No later than 12/09/2024	Fix: No later than 12/09/2024	Data Validation
3	Updated-Open	22071	Erroneously accepting FDID Records with multiple Customers where at least one active Customer has a <i>role</i> indicating no trading capabilities (e.g., NTHOLDER) and at least one Customer with a <i>role</i> indicating trading capabilities (e.g., <i>role</i> of 'AUTHREP' and <i>hasDiscretion</i> is 'true') is no longer active (i.e., <i>roleEndDate</i> is populated with a current or past date). These records should be rejected with Error Code 22071.	Code Release	Medium	Fix: No later than 12/09/2024	Fix: No later than 12/09/2024	Data Validation
C2024-32	Open	N/A	The sort feature on the 'Completion Date' column within the "Completed Submissions" page is not working correctly.	Code Release	Low	Fix: TBD	Fix: TBD	Reporter Portal

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

# CAIS Open Issues List – As of 7/10/2024

## Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
C2024-35	Open	22068	FDID Records properly rejected with Error Code 22009 also erroneously receive Error Code 22068. Repair of the valid rejection via resubmission of the full record will repair the 22068 rejection.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
C2024-36	Open	22004	FDID Records properly rejected with Error Code 22024 also erroneously receive Error Code 22002 and 23004. Repair of the rejections will result in over credit.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
C2024-37	New - Open	N/A	Erroneously accepting Date fields as strings. The Date fields should only accept integer data types.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation

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

# CAIS Planned Enhancements – Open

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production/Production Mirror Environments Targeted Release Date	Area
1	Open	N/A	The Update button on a Manual Form Submission is enabled when viewing a previously added record. The button should be disabled until at least one field is updated by the user.	Code Release	Low	TBD	TBD	Manual Form Submission
2	Open	N/A	Update label descriptions in the CAIS Reporter Portal to conform with the Full CAIS Technical Specifications.	Code Release	Low	TBD	TBD	Reporter Portal
3	New-Open	N/A	Daily feedback will not be returned when the relationship between the Industry Member and the CAT Submitter has been expired in the Reporter Portal.	Code Release	Low	TBD	TBD	Reporter Portal

# Planned CAIS Technical Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod/Prod Mirror
1	New- Open	<p>New error codes:</p> <ul style="list-style-type: none"> <li>• Error Code 22543: Invalid combination of <i>ein</i> and <i>tidType</i> (When <i>ein</i> is populated, <i>tidType</i> must be 'EIN')</li> <li>• Error Code 22544: Conflicting <i>ein</i> and <i>tidValue</i> (When <i>ein</i> is populated and <i>tidType</i> is 'EIN', the hashed version of the <i>ein</i> value must match the value populated in the <i>tidValue</i> field)</li> <li>• Error Code 22546: Unknown attribute on Customer Record (The Customer Record contains an attribute that is not known under the reported schema version)</li> </ul>	7/19/2024	2.2	9/16/2024	12/9/2024
2	New- Open	Include up to 10 <i>firmDesignatedID</i> associations in the Outstanding Material Inconsistencies Data Feedback File	7/19/2024	2.2	9/16/2024	12/9/2024
3	New- Open	Details regarding the FDID Refresh Report (The first FDID Refresh report will be delivered for compliance with the Periodic Customer & Account Information Refresh requirement no later than 5:00 p.m. Eastern Time on April 3, 2025)	7/19/2024	2.2	No later than 11/30/2024	12/9/2024
4	New- Open	Extend maximum length of <i>firstName</i> and <i>middleName</i> to 200 characters	7/19/2024	2.2	9/16/2024	12/9/2024

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

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# General Announcements and Reminders

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# Upcoming CAT CAIS Weekend Maintenance

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As a reminder, the CAT CAIS Production environment will be unavailable from approximately 8:00 a.m. ET on Saturday, July 13, 2024 until approximately 5:00 p.m. ET Sunday, July 14, 2024.

- The CAT CAIS Production Mirror, CT Environments, and all CAT Transaction Environments are not impacted and will remain available.

# Announcements and Reminders

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- ▶ The next [Monthly CAT Update](#) will be held on July 18, 2024 at 4:15 pm ET.
- ▶ Please note, today is the last scheduled CAIS Testing Checkpoint Call.
- ▶ CAIS updates will continue to be included in the Monthly CAT Update Calls.

# FINRA CAT Helpdesk

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Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or [help@finracat.com](mailto:help@finracat.com)

# How to Ask a Question during Today's Call

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- **For participants using computer audio:**
  - Click the “Raise Hand” button at the bottom of the participants window.
  - A visual prompt will indicate that your line has been unmuted.
- **For participants using phone audio:**
  - Enter \*9 on your phone keypad.
  - An audio prompt will indicate that your line has been unmuted.

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# Appendix

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# File Submission Statistics

## Weekly End Of The Day – Monday (Bi-Weekly), 6/20/24 – 6/26/24

CAIS Processing Date	Total Submitters	Total CAT Reporters	Total Files Submitted To CAIS	Accepted Files	Rejected Files	File Rejection Rate
6/20/2024	90	226	651	643	8	1.23%
6/21/2024	91	922	3,015	2,970	45	1.49%
6/22/2024	24	767	2,090	2,086	4	0.19%
6/23/2024	6	10	22	22	0	0.00%
6/24/2024	94	226	667	662	5	0.75%
6/25/2024	97	939	2,809	2,798	11	0.39%
6/26/2024	90	902	2,683	2,668	15	0.56%

# FDID Daily Submission Statistics

## FDID Daily Submission Statistics / Feedback (T+3), 6/20/24 – 6/26/24

CAIS Processing Date	Processed FDID Record Count	Rejected FDID Record Count	Initial FDID Rejection Rate	Outstanding FDID Record Count (T+3)	As of T+3 FDID Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 FDID Rate (includes lates)
6/20/2024	1,454,042	5,120	0.35%	2,371	0.16%	1,926	0.30%
6/21/2024	5,135,351	67,554	1.32%	32,021	0.62%	17,494	0.96%
6/24/2024	1,121,836	5,432	0.48%	873	0.08%	1,788	0.24%
6/25/2024	8,214,320	77,300	0.94%	42,805	0.52%	10,118	0.64%
6/26/2024	2,623,276	20,470	0.78%	5,953	0.23%	9,586	0.59%

# Customer Daily Submission Statistics

## Customer Daily Submission Statistics / Feedback (T+3), 6/20/24 – 6/26/24

CAIS Processing Date	Processed Customer Record Count	Rejected Customer Record Count	Initial Customer Rejection Rate	Outstanding Customer Record Count (T+3)	As of T+3 Customer Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Customer Rejection Rate (includes lates)
6/20/2024	880,395	7,222	0.82%	2,847	0.32%	2,405	0.60%
6/21/2024	5,352,925	90,398	1.69%	39,631	0.74%	22,293	1.16%
6/22/2024	373,631	4,176	1.12%	1,469	0.39%	1,598	0.82%
6/25/2024	9,033,466	95,514	1.06%	56,502	0.63%	13,998	0.78%
6/26/2024	2,199,739	29,271	1.33%	10,346	0.47%	11,912	1.01%

# Overall Daily Submission Statistics

## Overall Daily Submission Statistics / Feedback (T+3), 6/20/24 – 6/26/24

CAIS Processing Date	Processed Overall Record Count	Rejected Overall Record Count	Initial Overall Rejection Rate	Outstanding Overall Record Count (T+3)	As of T+3 Overall Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Overall Rate (includes lates)
6/20/2024	2,334,437	12,342	0.53%	5,218	0.22%	4,331	0.41%
6/21/2024	10,488,276	157,952	1.51%	71,652	0.68%	39,787	1.06%
6/24/2024	1,495,457	9,608	0.64%	2,342	0.16%	3,386	0.38%
6/25/2024	17,247,786	172,814	1.00%	99,307	0.58%	24,116	0.72%
6/26/2024	4,823,015	49,741	1.03%	16,299	0.34%	21,498	0.78%

# File Submission Statistics

## Weekly End Of The Day – Monday (Bi-Weekly), 6/13/24 – 6/19/24

CAIS Processing Date	Total Submitters	Total CAT Reporters	Total Files Submitted To CAIS	Accepted Files	Rejected Files	File Rejection Rate
6/13/2024	95	896	2,726	2,715	11	0.40%
6/14/2024	86	914	2,696	2,664	32	1.19%
6/15/2024	22	749	2,509	2,664	32	1.19%
6/16/2024	8	30	101	101	0	0.00%
6/17/2024	90	216	539	529	10	1.86%
6/18/2024	94	905	2,696	2,682	14	0.52%
6/19/2024	42	806	2,259	2,253	6	0.27%

# FDID Daily Submission Statistics

## FDID Daily Submission Statistics / Feedback (T+3), 6/13/24 – 6/18/24

CAIS Processing Date	Processed FDID Record Count	Rejected FDID Record Count	Initial FDID Rejection Rate	Outstanding FDID Record Count (T+3)	As of T+3 FDID Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 FDID Rate (includes lates)
6/13/2024	2,601,479	26,440	1.02%	6,141	0.24%	17,770	0.92%
6/14/2024	8,170,454	74,454	0.91%	29,728	0.36%	32,098	0.76%
6/17/2024	1,008,054	12,692	1.26%	9,680	0.96%	1,806	1.14%
6/18/2024	5,662,317	336,526	5.94%	239,622	4.23%	31,855	4.79%

# Customer Daily Submission Statistics

## Customer Daily Submission Statistics / Feedback (T+3), 6/13/24 – 6/18/24

CAIS Processing Date	Processed Customer Record Count	Rejected Customer Record Count	Initial Customer Rejection Rate	Outstanding Customer Record Count (T+3)	As of T+3 Customer Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Customer Rejection Rate (includes lates)
6/13/2024	2,231,386	27,576	1.24%	10,687	0.48%	12,412	1.04%
6/14/2024	8,040,056	81,950	1.02%	39,164	0.49%	22,536	0.77%
6/17/2024	226,985	14,173	6.24%	7,207	3.18%	2,766	4.39%
6/18/2024	5,179,113	254,968	4.92%	205,272	3.96%	22,677	4.40%

# Overall Daily Submission Statistics

## Overall Daily Submission Statistics / Feedback (T+3), 6/13/24 – 6/18/24

CAIS Processing Date	Processed Overall Record Count	Rejected Overall Record Count	Initial Overall Rejection Rate	Outstanding Overall Record Count (T+3)	As of T+3 Overall Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Overall Rate (includes lates)
6/13/2024	4,832,865	54,016	1.12%	16,828	0.35%	30,182	0.97%
6/14/2024	16,210,510	156,404	0.96%	68,892	0.42%	54,634	0.76%
6/17/2024	1,235,039	26,865	2.18%	16,887	1.37%	4,572	1.74%
6/18/2024	10,841,430	591,494	5.46%	444,894	4.10%	54,532	4.61%

# File Submission Statistics

## Weekly End Of The Day – Monday (Bi-Weekly), 6/06/24 – 6/12/24

CAIS Processing Date	Total Submitters	Total CAT Reporters	Total Files Submitted To CAIS	Accepted Files	Rejected Files	File Rejection Rate
6/06/2024	93	899	2,670	2,659	11	0.41%
6/07/2024	89	926	2,724	2,712	12	0.44%
6/08/2024	24	780	2,124	2,114	10	0.47%
6/09/2024	4	5	27	25	2	7.41%
6/10/2024	90	215	581	568	13	2.24%
6/11/2024	100	932	2,770	2,755	15	0.54%
6/12/2024	98	908	2,711	2,698	13	0.48%

# FDID Daily Submission Statistics

## FDID Daily Submission Statistics / Feedback (T+3), 6/06/24 – 6/12/24

CAIS Processing Date	Processed FDID Record Count	Rejected FDID Record Count	Initial FDID Rejection Rate	Outstanding FDID Record Count (T+3)	As of T+3 FDID Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 FDID Rate (includes lates)
6/06/2024	2,771,610	29,058	1.05%	6,677	0.24%	11,563	0.66%
6/07/2024	4,734,947	126,034	2.66%	95,078	2.01%	20,106	2.43%
6/10/2024	1,145,279	11,000	0.96%	4,910	0.43%	2,436	0.64%
6/11/2024	2,670,384	36,013	1.35%	6,042	0.23%	20,360	0.99%
6/12/2024	2,700,688	49,534	1.83%	14,752	0.55%	12,152	1.00%

# Customer Daily Submission Statistics

## Customer Daily Submission Statistics / Feedback (T+3), 6/06/24 – 6/12/24

CAIS Processing Date	Processed Customer Record Count	Rejected Customer Record Count	Initial Customer Rejection Rate	Outstanding Customer Record Count (T+3)	As of T+3 Customer Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Customer Rejection Rate (includes lates)
6/06/2024	2,422,476	38,488	1.59%	11,421	0.47%	13,147	1.01%
6/07/2024	4,902,825	212,098	4.33%	171,138	3.49%	23,832	3.98%
6/10/2024	415,621	12,256	2.94%	5,983	1.44%	1,914	1.90%
6/11/2024	2,405,818	42,582	1.77%	18,009	0.75%	16,305	1.43%
6/12/2024	2,361,506	62,235	2.64%	22,343	0.95%	12,894	1.49%

# Overall Daily Submission Statistics

## Overall Daily Submission Statistics / Feedback (T+3), 6/06/24 – 6/12/24

CAIS Processing Date	Processed Overall Record Count	Rejected Overall Record Count	Initial Overall Rejection Rate	Outstanding Overall Record Count (T+3)	As of T+3 Overall Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Overall Rate (includes lates)
6/06/2024	5,194,086	67,546	1.30%	18,098	0.35%	24,710	0.82%
6/07/2024	9,637,772	338,132	3.51%	266,216	2.76%	43,938	3.22%
6/10/2024	1,561,900	23,256	1.49%	10,893	0.70%	4,350	0.98%
6/11/2024	5,076,202	78,595	1.55%	24,051	0.47%	36,665	1.20%
6/12/2024	5,062,194	111,769	2.21%	37,095	0.73%	25,046	1.23%

# File Submission Statistics

## Weekly End Of The Day – Monday (Bi-Weekly), 5/30/24 – 6/05/24

CAIS Processing Date	Total Submitters	Total CAT Reporters	Total Files Submitted To CAIS	Accepted Files	Rejected Files	File Rejection Rate
5/30/2024	98	911	3,752	3,702	50	1.33%
5/31/2024	110	944	3,504	3,460	44	1.26%
6/01/2024	24	763	2,159	2,154	5	0.23%
6/02/2024	5	9	60	60	0	0.00%
6/03/2024	86	242	692	679	13	1.88%
6/04/2024	99	912	2,844	2,828	15	0.53%
6/05/2024	104	922	3,063	3,049	14	0.46%

# FDID Daily Submission Statistics

## FDID Daily Submission Statistics / Feedback (T+3), 5/30/24 – 6/05/24

CAIS Processing Date	Processed FDID Record Count	Rejected FDID Record Count	Initial FDID Rejection Rate	Outstanding FDID Record Count (T+3)	As of T+3 FDID Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 FDID Rate (includes lates)
5/30/2024	20,155,246	470,447	2.33%	415,083	2.06%	32,790	2.22%
5/31/2024	4,787,585	72,586	1.52%	41,500	0.87%	21,324	1.31%
6/03/2024	1,998,330	8,035	0.40%	2,423	0.12%	2,138	0.23%
6/04/2024	5,278,954	41,612	0.79%	8,722	0.17%	17,590	0.50%
6/05/2024	2,676,252	25,243	0.94%	9,600	0.36%	11,371	0.78%

# Customer Daily Submission Statistics

## Customer Daily Submission Statistics / Feedback (T+3), 5/30/24 – 6/05/24

CAIS Processing Date	Processed Customer Record Count	Rejected Customer Record Count	Initial Customer Rejection Rate	Outstanding Customer Record Count (T+3)	As of T+3 Customer Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Customer Rejection Rate (includes lates)
5/30/2024	19,515,135	444,782	2.28%	347,613	1.78%	59,108	2.08%
5/31/2024	5,183,893	105,217	2.03%	58,411	1.13%	28,814	1.68%
6/03/2024	1,412,957	6,634	0.47%	3,402	0.24%	1,843	0.37%
6/04/2024	4,896,015	65,992	1.35%	29,342	0.60%	21,969	1.05%
6/05/2024	2,481,176	37,964	1.53%	15,048	0.61%	14,021	1.17%

# Overall Daily Submission Statistics

## Overall Daily Submission Statistics / Feedback (T+3), 5/30/24 – 6/05/24

CAIS Processing Date	Processed Overall Record Count	Rejected Overall Record Count	Initial Overall Rejection Rate	Outstanding Overall Record Count (T+3)	As of T+3 Overall Rejection Rate (excludes lates)	Late Repaired Count	As of T+3 Overall Rate (includes lates)
5/30/2024	39,670,381	915,229	2.31%	762,696	1.92%	91,898	2.15%
5/31/2024	9,971,478	177,803	1.78%	99,911	1.00%	50,138	1.50%
6/01/2024	3,411,287	14,669	0.43%	5,825	0.17%	3,981	0.29%
6/02/2024	10,174,969	107,604	1.06%	38,064	0.37%	39,559	0.76%
6/03/2024	5,157,428	63,207	1.23%	24,648	0.48%	25,392	0.97%