

Industry Member CAT CAIS Reporter Portal User Guide

**12/06/2024
Version 2.6.0**

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Change Log

Version	Date Published	Description of Change(s)
1.0.0	2020-08-21	Initial User Guide
1.1.0	2020-11-4	Added "Entity ID" as an acceptable FDID Type value Added guidance on aggregated statistics functionality for the submission report Included test versus production environment access information for CAIS Release 1.1
1.2.0	2021-3-24	Updated Access Information to provide Prod Mirror URLs
2.0.0	2022-1-26	Added of CAIS 2.0 fields and values to Manual Submission section Added of Customer Rejections page to Rejections section Added of Inconsistencies to Error Corrections section Clarified that CAIS Reporting Relationships are view-only in the CAIS application
2.1.0	N/A	No user guide updates were published in conjunction with CAIS Release 2.1
2.2.0	04/22/2022	Updated information in Sections 1, 2 and 3 for clarity Updated Section 6.2 to reflect the collection of DVP Custodian ID Reformatted all 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 – Viewing Rejections

2.5.0	10/11/2024	<p>Updated screenshot and data available from the Report Management screen in Section 4.1 – Reporting Summary</p> <p>Updated screenshots, added clarifications and made changes to conform with updates to the CAIS Reporter Portal in Section 4.2 – Reporting Statistics, Section 5.1 – Viewing Rejections, Section 5.3 – Viewing Inconsistencies, and Section 6.2 – Manually Report Data to CAIS</p> <p>Added new Section 4.2.5 – Unique Rejections Report</p> <p>Added new Section 8 – CAIS Report Card</p>
2.6.0	12/06/2024	<p>Included information on the sort and filter functionalities throughout</p> <p>Added field descriptions throughout</p> <p>Updated Section 4.2 – Reporting Statistics to include the FDID Refresh Report</p> <p>Added new Section 4.2.6 – FDID Refresh Report</p> <p>Added new Section 6.3 – Submissions in Progress</p> <p>Corrected minor typos throughout</p>

Overview

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

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

Questions

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

Companion Resources

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

1. Entitlement and User Roles

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

2. Technical Requirements

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

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

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

See the [FINRA CAT Connectivity Supplement for Industry Members](#) for the available connection methods and all corresponding technical requirements.

3. Access Information

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

For information on the content and intended use of each environment, see **Section 3.1 CAT System Environments** in the [Industry Member CAIS Onboarding Guide](#).

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

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

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

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

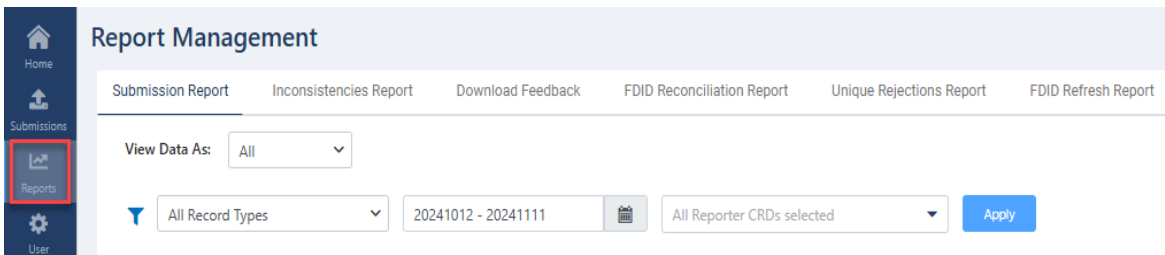
4. Reporting Feedback

4.1. Reporting Summary

The CAIS Portal provides statistics for all data submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal.

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, FDID Reconciliation Report, Unique Rejections Report and FDID Refresh Report.

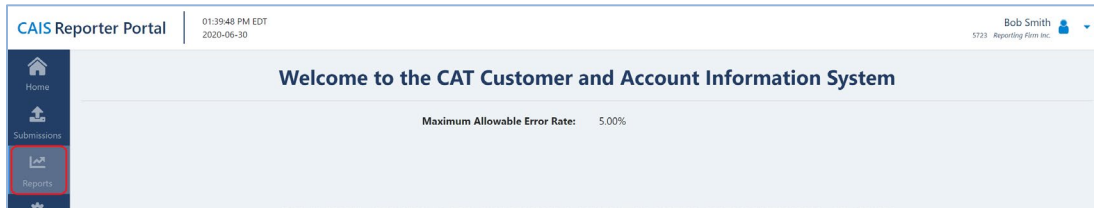
4.2. Reporting Statistics

4.2.1. Submission Report

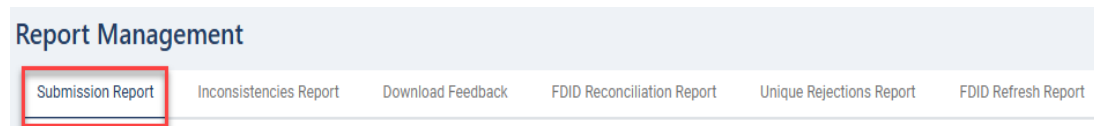
The CAIS Portal provides a breakdown of statistics by submission file for all data submitted by or on behalf of the user’s organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view submissions for the previous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

To view a submission report for the organization:

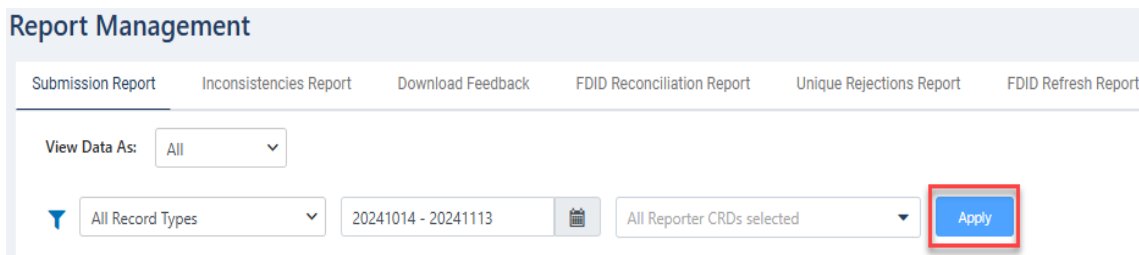
1. Select **Reports**.



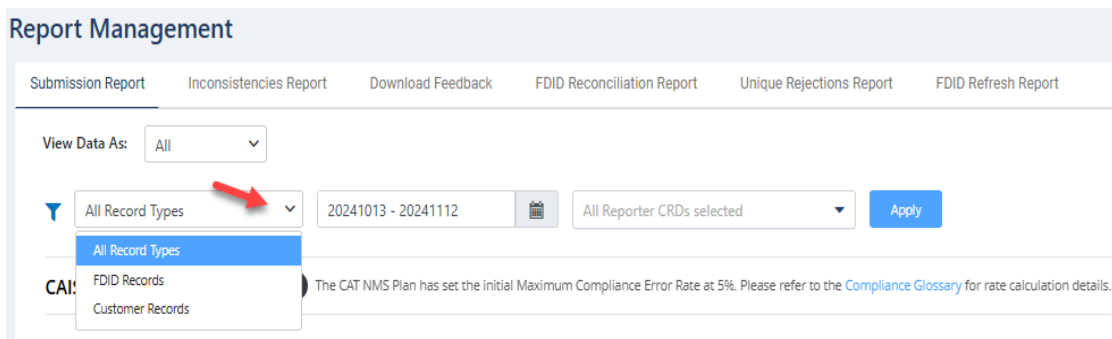
2. The **Submission Report** tab is displayed by default.



3. Select **Apply** to display the statistics.



4. Optionally, modify the display criteria. Submission statistics for both FDID and CAT Customer record types for the last 30 calendar days are selected 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.



5. Review the Submission Report.

The screenshot displays the 'Report Management' interface. At the top, there are navigation tabs: 'Submission Report', 'Inconsistencies Report', 'Download Feedback', 'FDID Reconciliation Report', 'Unique Rejections Report', and 'FDID Refresh Report'. Below these, there are filters for 'View Data As' (set to 'All'), 'All Record Types', a date range of '20240828 - 20241031', and 'All Reporter CRDs selected'. A 'CAIS Compliance Error Rate' of 43.2566% is shown, with a note that the CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. The 'FDID Aggregated Statistics' section shows: 2,228,361 Records Processed, 1,250,340 Records Accepted, 978,021 Records Rejected, 16,866 Timely Repairs, 10 Late Repairs, 961,145 Outstanding Records, and a 43.13% FDID Error Rate. Below this is a 'Submission Report' section with a 'Show columns' dropdown and buttons for 'Refresh', 'Download', and 'Display Settings'. At the bottom, a table header is visible with columns: Version, Submission ID, Submission Date, File Name, Status, Processed, Accepted, Rejected, and Timely Repairs.

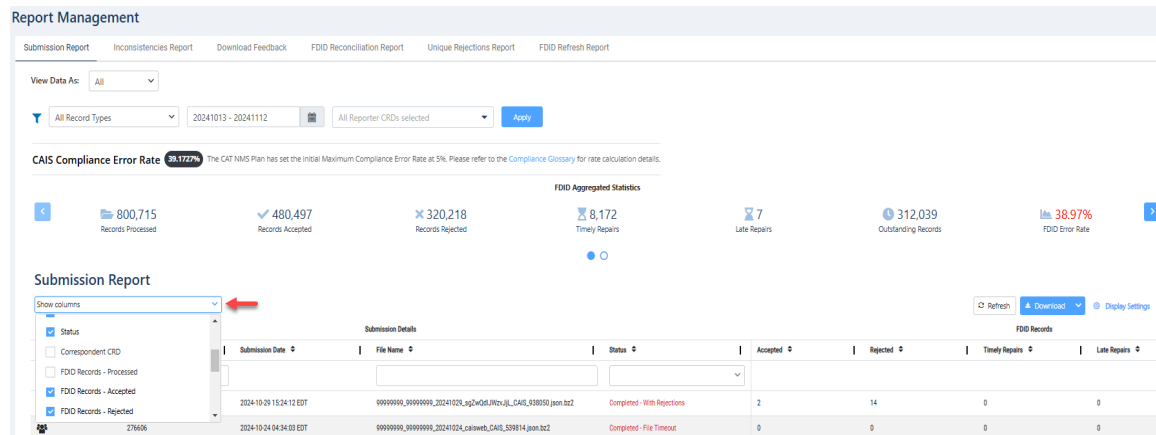
CAIS displays the following information for the specified display criteria:

- **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, such as Version, Submission ID, Submission Date, File Name and Status.
- **Record submission statistics** for each file submitted to CAIS, including for FDID Records and Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, Timely Repairs, Late Repairs and number of Outstanding Records.

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

This screenshot is similar to the one above but shows the 'Download' button in the 'Submission Report' section highlighted with a red box. The 'CAIS Compliance Error Rate' is now 60.0000%. The 'FDID Aggregated Statistics' section shows: 2 Records Processed, 1 Records Accepted, 1 Records Rejected, 0 Timely Repairs, 0 Late Repairs, 1 Outstanding Records, and a 50% FDID Error Rate. The 'Download' button is clearly visible and highlighted.

7. 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 that submitted the file.
- 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.

Users can also filter columns by specific values.

Submission Report

Submission Report interface showing a table of submission details. The table has columns: Version, Submission ID, Submission Date, File Name, Status, User ID, Submitter ID, and Correspondent CRD. The table contains three rows of data, all with a status of 'Completed - File Timeout'.

Version	Submission ID	Submission Date	File Name	Status	User ID	Submitter ID	Correspondent CRD
	276606	2024-10-24 04:34:03 EDT	99999999_99999999_20241024_caisweb_CAIS_539814.json.bz2	Completed - File Timeout	portalimuserst9999	99999999	99999999
	276657	2024-10-24 04:34:27 EDT	99999999_99999999_20241024_caisweb_CAIS_233046.json.bz2	Completed - File Timeout	portalimuserst9999	99999999	99999999
	276582	2024-10-24 04:33:52 EDT	99999999_99999999_20241024_bblMcchZ_CAIS_686816.json.bz2	Completed - File Timeout	portalimuserst9999	99999999	283942

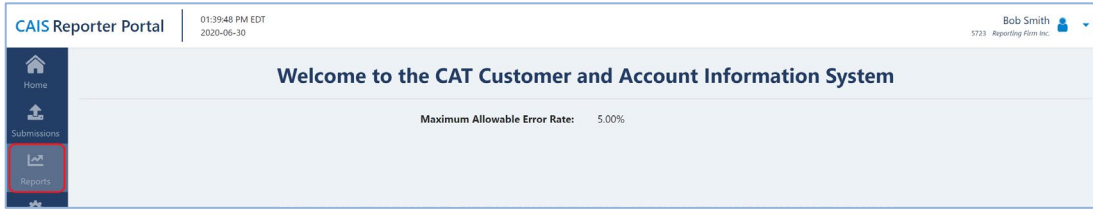
4.2.2. Inconsistencies Report

The Inconsistencies Report allows the user to view both intrafirm inconsistencies and interfirm inconsistencies statistics on a daily basis. A user may view inconsistencies for the previous 90 calendar days, including the current date.

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**.

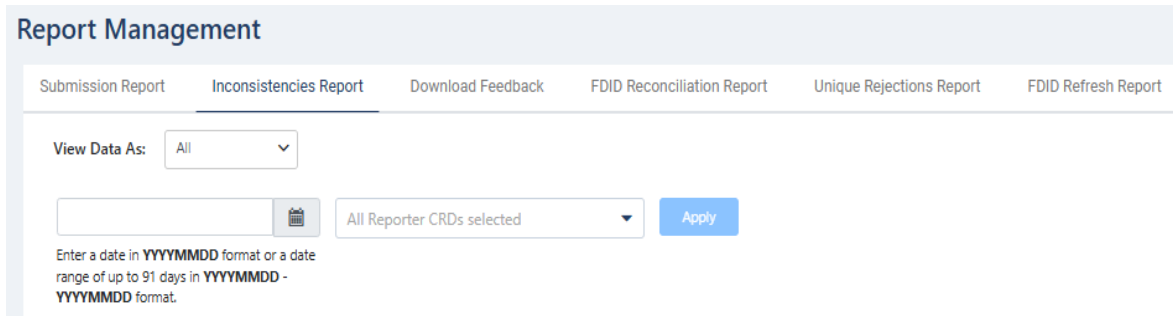


2. Select **Inconsistencies Report**.



3. Select **Apply** to display the statistics.

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

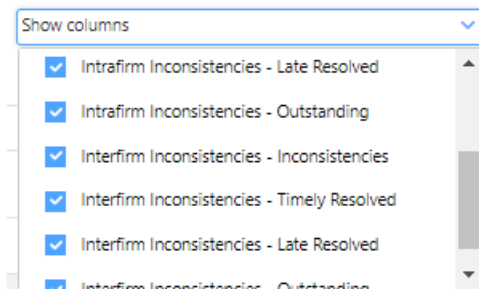


5. The Inconsistencies Report provides statistics by Error Identification Date and Reporter CRD. Intrafirm Inconsistencies and Interfirm Inconsistencies are displayed by default.



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

Inconsistencies Report



7. 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.
- Intrafirm Inconsistencies – Inconsistencies - The total number of Intrafirm Inconsistencies.
- Intrafirm Inconsistencies – Timely Resolved - The number of Intrafirm Inconsistencies that were resolved prior to T+3 at 5:00 p.m. ET.
- Intrafirm Inconsistencies – Late Resolved - The number of Intrafirm Inconsistencies that were resolved after T+3 at 5:00 p.m. ET.
- Intrafirm Inconsistencies – Outstanding - The number of Intrafirm Inconsistencies for which no resolutions were attempted.
- Interfirm Inconsistencies – Inconsistencies - The total number of Interfirm Inconsistencies.
- Interfirm Inconsistencies – Timely Resolved - The number of Interfirm Inconsistencies that were resolved prior to T+3 at 5:00 p.m. ET.
- Interfirm Inconsistencies – Late Resolved - The number of Interfirm Inconsistencies that were resolved after T+3 at 5:00 p.m. ET.
- Interfirm 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	Intrafirm Inconsistencies				Interfirm Inconsistencies			
				Inconsistencies	Timely Resolved	Late Resolved	Outstanding	Inconsistencies	Timely Resolved	Late Resolved	Outstanding
2024-07-13	99999999	99999999	283942	1	0	0	1	0	0	0	0
2024-07-31	99999999	99999999	283942	116	0	0	116	386	0	0	386
2024-07-10	99999999	99999999	283942	18	0	0	18	63	0	0	63

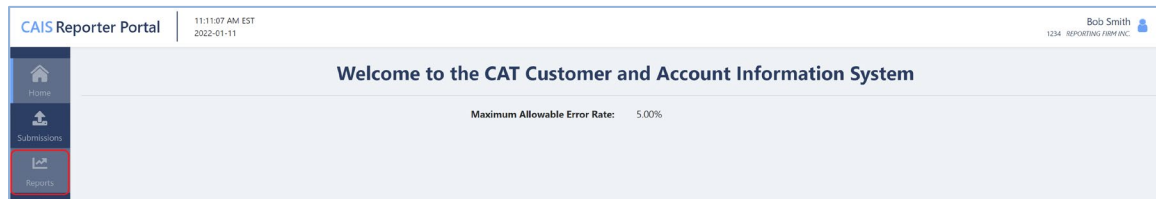
4.2.3. Download Feedback

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:

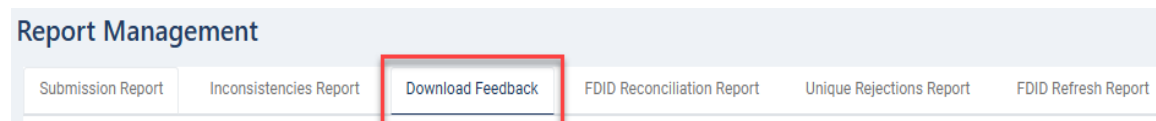
- Material Inconsistencies found during the once-daily scan as well as Material Inconsistencies that remain unresolved at the time of the daily scan (delivered in feedback consisting of a metadata file and data file set).
- Rejections identified during Data Validation that remain unrepaired at the time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

Report Management

Submission Report	Inconsistencies Report	Download Feedback	FDID Reconciliation Report	Unique Rejections Report
Processing Date ▾	File Name ⇅			Download
2024-09-27	99999999_99999999_20240927_OUTSTANDINGREJECTIONS_000003_meta.json			
2024-09-27	99999999_99999999_99999998_20240927_OUTSTANDINGREJECTIONS_000001_data.json.bz2			
2024-09-27	99999999_99999999_99999998_20240927_OUTSTANDINGREJECTIONS_000001_meta.json			
2024-09-27	99999999_99999999_20240927_OUTSTANDINGREJECTIONS_000004_data.json.bz2			

4.2.4. FDID Reconciliation Report

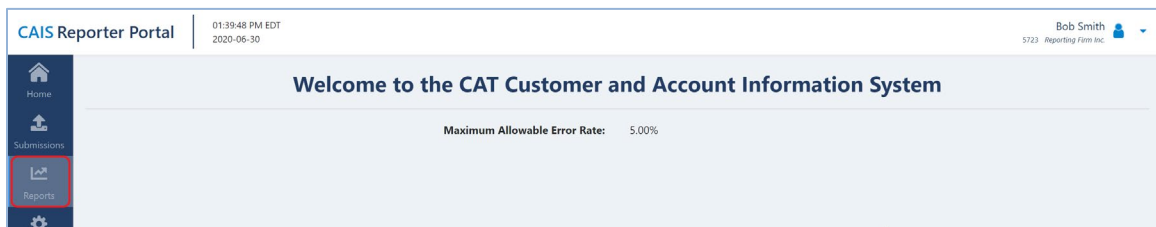
The CAIS Portal provides a means for Industry Members and Submitters to reconcile FDID and LTID data stored in CAIS with their own records. Entitled users can upload a newline-delimited text file containing up to 1,000 *firmDesignatedIDs*. CAIS will return a Microsoft Excel-readable delimited text file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

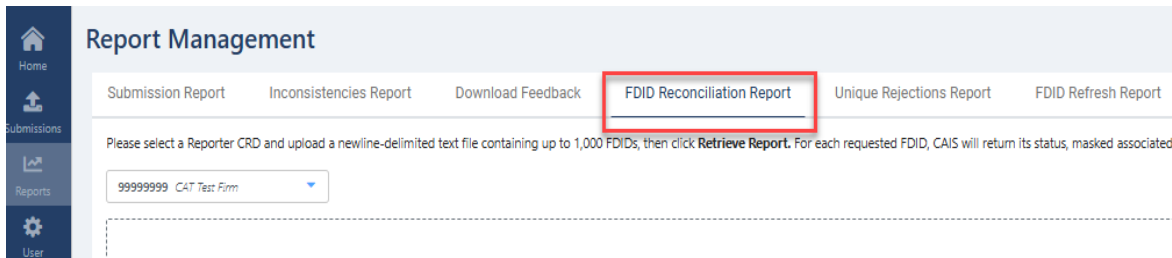
- A list of **partially masked LTIDs** which are associated to each FDID, including those that have been inactivated or are pending inactivation.
- The **LTID Status**, which indicates whether the LTID association is:
 - **Active:** The FDID-to-LTID association does not have an End Date and End Reason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

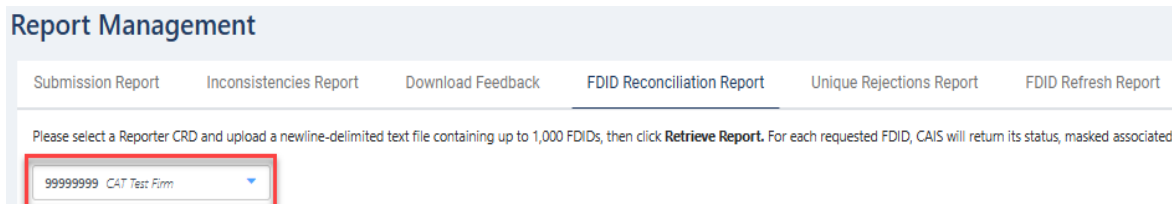
1. **Select Reports.**



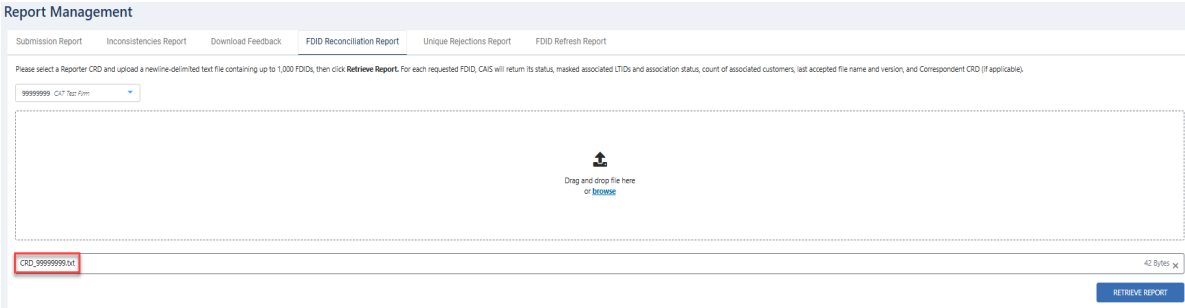
2. **Select FDID Reconciliation Report.**



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



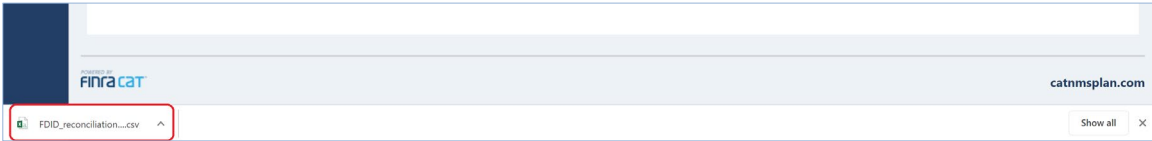
4. Upload a newline-delimited text file containing up to 1,000 FDIDs.



5. Select **Retrieve Report**.



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



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

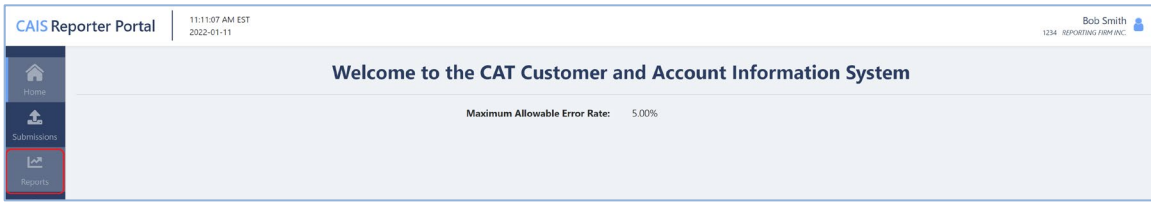
Firm Designated ID	Correspondent CRD	FDID Status	Associated Customer Count	Last Accepted File Name	Version	Large Trader ID	LTID Status
884 fdid3 test		INACTIVE	0	99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid2 test		INACTIVE	0	99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid1 test		ACTIVE	1	99999999_99999999_20240220_FDIDrecReport_CAIS_000006.json.bz2	FULL_CAIS		
884 fdid6 test		ACTIVE	1	99999999_99999999_20240220_corCount_CAIS_000002.json.bz2	FULL_CAIS		

4.2.5. Unique Rejections Report

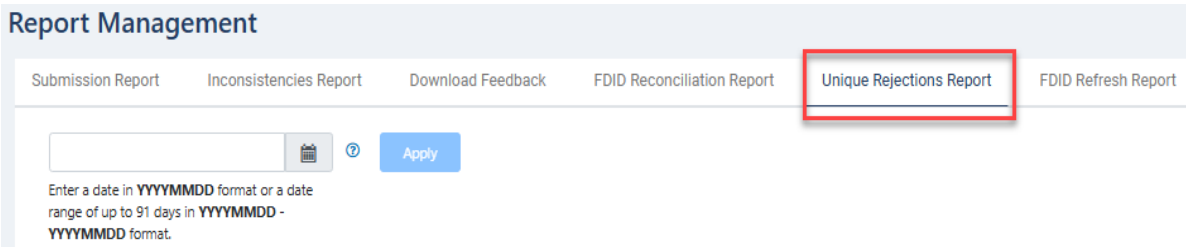
The Unique Rejections Report screen provides rejection statistics based on unique FDIDs and unique Customers submitted to CAIS over time. The rejection statistics reflect outstanding rejection counts and rates for unique FDIDs and unique Customers across time as of a specified date or date range. A user may view unique rejections for the previous 90 calendar days, including the current date.

To view the Unique Rejections Report:

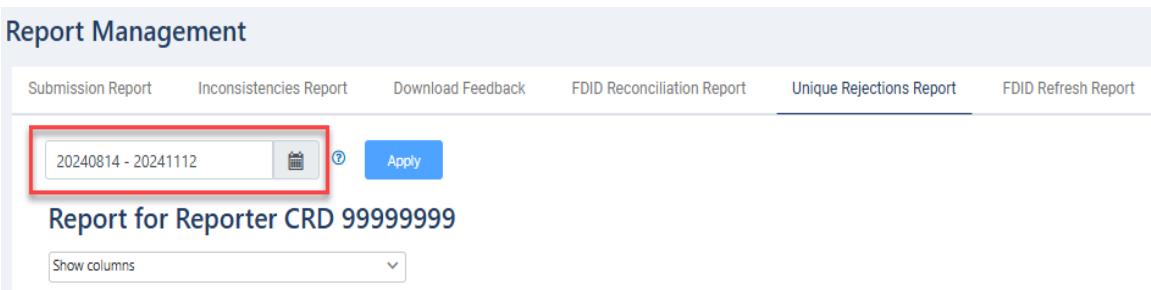
1. Select **Reports**.



2. Select **Unique Rejections Report**.



3. Enter a date or date range in this format: YYYYMMDD and select **Apply**. Dates within the last 91 days can be selected.



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

Report Management

Submission Report Inconsistencies Report Download Feedback FDID Reconciliation Report Unique Rejections Report FDID Refresh Report

20240814 - 20241112 Apply

Report for Reporter CRD 99999999

Show columns

- FDID - Unique Outstanding
- FDID - Unique Total
- FDID - Outstanding Rate
- Customer - Unique Outstanding
- Customer - Unique Total
- Customer - Outstanding Rate

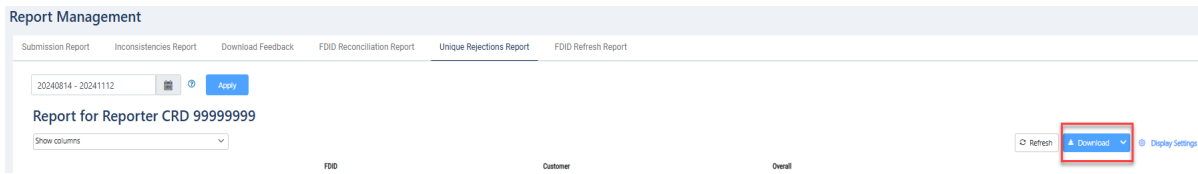
	Reporter	FDID			Customer			Overall		
		Unique Outstanding	Unique Total	Outstanding Rate	Unique Outstanding	Unique Total	Outstanding Rate	Unique Outstanding	Unique Total	Outstanding Rate
		6881679	47414667	56.6049%	4050246	23182367	17.4712%	30931925	70597034	43.8148%
		6881682	47414671	56.6049%	4050248	23182369	17.4712%	30931930	70597040	43.8148%
2024-08-16	99999999	26881793	47414797	56.6049%	4050354	23182490	17.4716%	30932147	70597287	43.8149%
2024-08-17	99999999	26881793	47414797	56.6049%	4050354	23182490	17.4716%	30932147	70597287	43.8149%
2024-08-18	99999999	26881793	47414797	56.6049%	4050354	23182490	17.4716%	30932147	70597287	43.8149%
2024-08-19	99999999	26881793	47414797	56.6049%	4050354	23182490	17.4716%	30932147	70597287	43.8149%
2024-08-20	99999999	26909081	47488273	56.6647%	4067649	23229615	17.5106%	30976730	70717888	43.8032%
2024-08-21	99999999	26946484	47570454	56.6454%	4095175	23285676	17.5867%	31041659	70856130	43.8094%
2024-08-22	99999999	27185548	47879522	56.7791%	4257675	23497633	18.1196%	31443223	71377155	44.0522%
2024-08-23	99999999	27225696	47972912	56.7522%	4284191	23561032	18.1834%	31509887	71533944	44.0489%

5. The available options under **Show Columns** include the following:

- Reporter CRD - CRD number assigned to the Industry Member to which the data belongs.
- FDID – Unique Outstanding - Count of unique FDID Records with a rejection Status of Outstanding.
- FDID – Unique Total - Count of unique FDID Records.
- FDID – Outstanding Rate - (FDID – Unique Outstanding) divided by (FDID – Unique Total).
- Customer – Unique Outstanding - Count of unique Customer Records with a rejection Status of Outstanding.
- Customer – Unique Total - Count of unique Customer Records.
- Customer – Outstanding Rate - (Customer – Unique Outstanding) divided by (Customer – Unique Total).
- Overall – Unique Outstanding - Count of unique FDID and unique Customer Records with a rejection Status of Outstanding.
- Overall – Unique Total - Count of unique FDID and unique Customer Records.
- Overall – Outstanding Rate - (Overall – Unique Outstanding) divided by (Overall – Unique Total).

As of Date ^	Reporter CRD	FDID			Customer			Overall		
		Unique Outstanding	Unique Total	Outstanding Rate	Unique Outstanding	Unique Total	Outstanding Rate	Unique Outstanding	Unique Total	Outstanding Rate

6. Optionally, select the **Download** button to download the Unique Rejections Report in a CSV file.



- CSV sample:

As of Date	Reporter CRD	FDID Unique Outstanding	FDID Unique Total	FDID Outstanding Rate	Customer Unique Outstanding	Customer Unique Total	Customer Outstanding Rate	Overall Unique Outstanding	Overall Unique Total	Overall Outstanding Rate
8/1/2024	99999999	26809820	47248383	56.7424	4015266	23087391	17.3916	30825086	70335674	43.8257
8/2/2024	99999999	26809821	47248303	56.7424	4015267	23087411	17.3916	30825088	70335714	43.8257
8/3/2024	99999999	26837118	47321850	56.7119	4032581	23134643	17.4309	30869699	70456493	43.8138
8/4/2024	99999999	26837118	47321850	56.7119	4032581	23134643	17.4309	30869699	70456493	43.8138
8/5/2024	99999999	26854076	47340735	56.7251	4032581	23134643	17.4309	30886657	70475378	43.8262
8/6/2024	99999999	26881383	47368322	56.7497	4049908	23152116	17.4926	30931291	70520438	43.8615
8/7/2024	99999999	26881383	47414248	56.6947	4049908	23181860	17.4702	30931291	70596108	43.8144
8/8/2024	99999999	26881564	47414446	56.6949	4050088	23182055	17.4708	30931652	70596501	43.8147
8/9/2024	99999999	26881564	47414446	56.6949	4050088	23182055	17.4708	30931652	70596501	43.8147
8/10/2024	99999999	26864594	47395542	56.6817	4050088	23182055	17.4708	30914682	70577597	43.8024

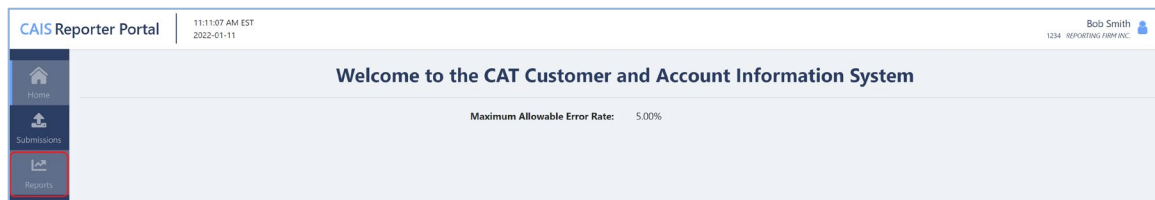
4.2.6. FDID Refresh Report

The FDID Refresh Report contains a list of the Industry Member's active FDIDs that were last accepted at least 11 calendar months prior to the month of the report. FDID Refresh Reports will be delivered for compliance with the Periodic Customer & Account Information Refresh requirement on the third CAT Trading Day of the month. The monthly FDID Refresh Report file is available on the portal for 35 calendar days.

For more information on the Periodic Customer & Account Information Refresh requirement and the FDID Refresh Report see the Customer & Account Technical Specifications for Industry Members.

To view the FDID Refresh Report:

1. Select **Reports**



2. Select **FDID Refresh Report**



3. To open a file, select the **Download** button.

The screenshot shows the 'Report Management' interface with the 'FDID Refresh Report' tab selected. A yellow notification banner at the top states: 'The FDID Refresh Reports for January, February and March of 2025 are being delivered in the Production Environment for testing purposes and unrefreshed FDIDs may display a Refresh Due Date requirement on April 3, 2025. All FDIDs listed on the April 2025 Refresh Report must be refreshed no later than midnight Eastern Time on May 31, 2025.' Below the banner is a table with columns for 'Processing Date', 'File Name', and 'Download'. Two rows are visible, each with a blue download icon. A red arrow points to the download icon for the file '99999999_99999999_20241105_FDIDREFRESHREPORT_000001_data.json.bz2'.

Processing Date	File Name	Download
2024-11-05	99999999_99999999_20241105_FDIDREFRESHREPORT_000001_data.json.bz2	
2024-11-05	99999999_99999999_20241105_FDIDREFRESHREPORT_000001_meta.json	

- The FDID Refresh Report files will include a metadata file and data file set. The data file will include details about the FDID Records requiring a refresh and the metadata file will include the count of FDID Records requiring a refresh contained within the data file.
- A set(s) of metadata file and data file will be delivered for each combination of CAT Submitter, CAT Reporter CRD and Correspondent CRD.

4. Optionally, utilize the **sort** and **filter** functionalities to locate a specific **File Name** for which an FDID Refresh Report was generated. Once the file is located, click the **Download** button in order to download the corresponding FDID Refresh Report.

The screenshot shows the 'Report Management' interface with the 'FDID Refresh Report' tab selected. A yellow notification banner at the top states: 'The FDID Refresh Reports for January, February and March of 2025 are being delivered in the Production Environment for testing purposes and unrefreshed FDIDs may display a Refresh Due Date requirement on April 3, 2025. All FDIDs listed on the April 2025 Refresh Report must be refreshed no later than midnight Eastern Time on May 31, 2025.' Below the banner is a table with columns for 'Processing Date', 'File Name', and 'Download'. A red box highlights the 'Processing Date' and 'File Name' columns. Four rows are visible, each with a blue download icon.

Processing Date	File Name	Download
2024-11-15	99999999_99999999_20241115_FDIDREFRESHREPORT_10298555_Test.json.bz2	
2024-11-15	99999999_99999999_20241115_FDIDREFRESHREPORT_10326880_Test.json.bz2	
2024-11-14	99999999_99999999_20241114_FDIDREFRESHREPORT_10417451_Test.json.bz2	
2024-11-14	99999999_99999999_20241114_FDIDREFRESHREPORT_10709217_Test.json.bz2	

5. Rejections and Inconsistencies

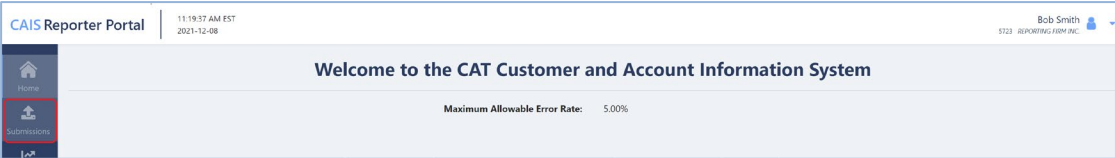
The CAIS Portal allows users to review and manage rejected records and inconsistencies. This includes the ability to view a high-level summary, view rejection and inconsistency details and repair/resolve the errors.

5.1. Viewing Rejections

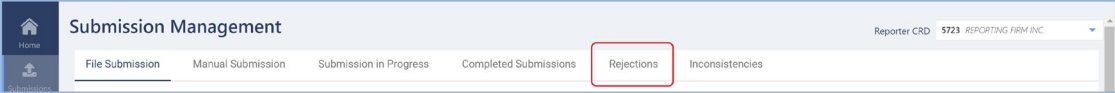
The CAIS Portal provides a breakdown of errors by FDID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the CAIS Portal. A user may view repaired rejections for the previous 10 calendar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

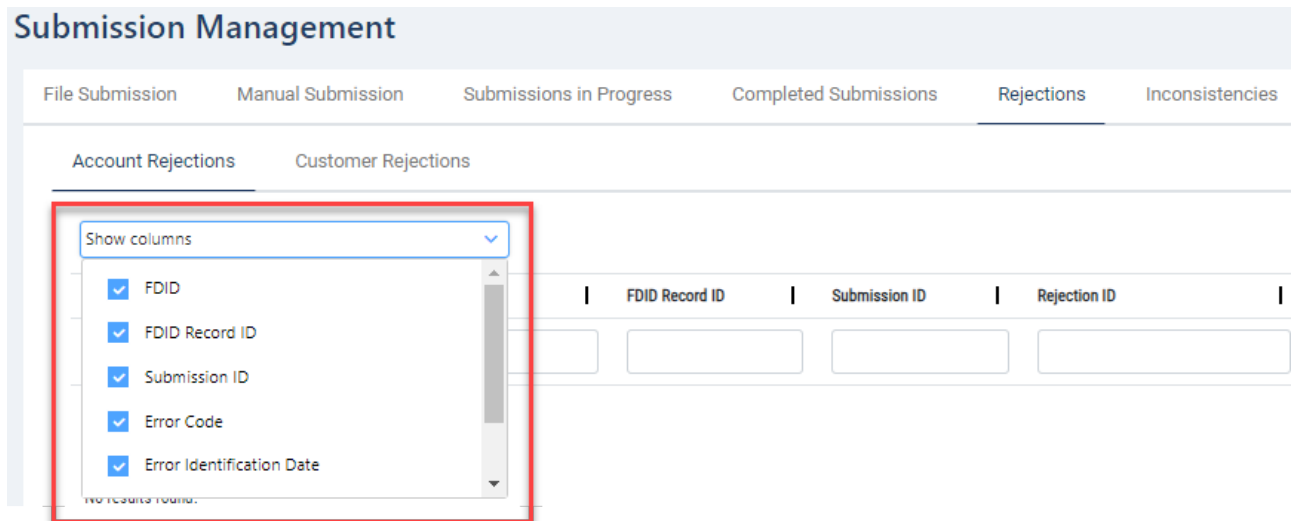


3. The **Account Rejections** tab is displayed by default. Rejections that are Outstanding and Repaired are displayed in the table. The Account Rejections tab displays the full count of rejections by unique FDID.

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.



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



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

- **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** - Deadline for repairing the rejection.
- **Status** - Update on repairs for rejections by unique FDID that are either Outstanding or Repaired.

Submission Management

Reporter CRD

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

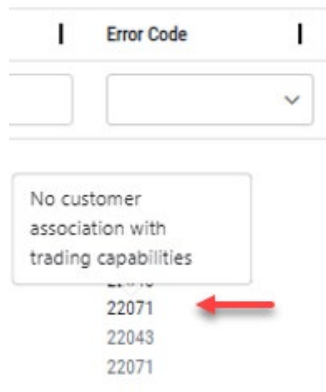
Account Rejections Customer Rejections

Show columns

Refresh Download Display Settings

FDID	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status
Item 7 SPD UAT 21	21	258941	258941000000012	22044	2024-09-04 18:16:41 EDT		Outstanding (3)
	21	258941	258941000000013	22067	2024-09-04 18:16:41 EDT	2024-09-09 17:00:00 EDT	
	21	258941	258941000000014	22007	2024-09-04 18:16:41 EDT		
Item 8 UAT SPD 2024-36	222	259510	259510000000002	22024	2024-09-05 12:23:44 EDT		Repaired
	222	259515	259515000000002	22011	2024-09-05 13:25:00 EDT		

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



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

Submission Management

Reporter CRD

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Account Rejections Customer Rejections

Show columns

Refresh Download Display Settings

FDID	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status
Item 7 SPD UAT 21	21	258941	258941000000012	22044	2024-09-04 18:16:41 EDT		Outstanding (3)
	21	258941	258941000000013	22067	2024-09-04 18:16:41 EDT	2024-09-09 17:00:00 EDT	
	21	258941	258941000000014	22007	2024-09-04 18:16:41 EDT		
Item 7 SPD UAT 2	2837692875453558904	258406	258406000000012	22044	2024-09-04 17:14:53 EDT		Outstanding (3)
	2837692875453558904	258406	258406000000013	22067	2024-09-04 17:14:53 EDT	2024-09-09 17:00:00 EDT	
	2837692875453558904	258406	258406000000014	22007	2024-09-04 17:14:53 EDT		

7. The Rejection Details 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.

Submission Management

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

Account Rejections | Customer Rejections

[Return to Rejections](#)

Rejection Details

CAT Reporter CRD

Firm Designated ID: Item 7 SPD UAT 2

Error Repair Deadline: 2024-09-09 17:00:00 EDT

Status: **Outstanding**

Malformed Record IDs
No errors found

Data Validation Errors

Rejection ID	Submitter ID	Submission ID	FDID Record ID	LTID Record ID	Error Code	Error Description	Error Identification Date	Status
258406000000012		258406	2837692875453058904		22044	Missing or Invalid roleStartDate	2024-09-04 17:14:53 EDT	Outstanding
258406000000013		258406	2837692875453058904		22067	roleEndDate set later than ffileEndDate	2024-09-04 17:14:53 EDT	Outstanding
258406000000014		258406	2837692875453058904		22007	Missing or invalid format of ffileDate	2024-09-04 17:14:53 EDT	Outstanding

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

Submission Management

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

Account Rejections | Customer Rejections

Show columns

Return | **Download** | Display Settings

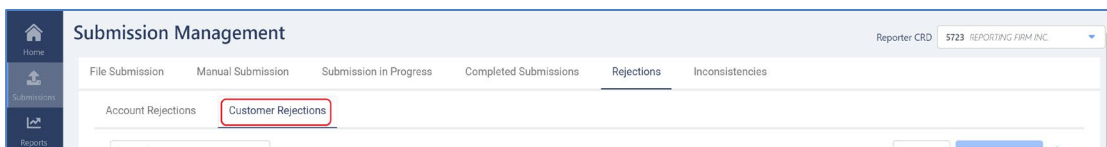
FDID	FDID Record ID	Submission ID	Rejection ID	Error Code	Error Identification Date	Error Repair Deadline	Status
Item 7 SPD UAT 21	21	25841	25841000000012	22044	2024-09-04 18:16:41 EDT		Outstanding (1)
	21	25841	25841000000013	22067	2024-09-04 18:16:41 EDT		
	21	25841	25841000000014	22007	2024-09-04 18:16:41 EDT	2024-09-09 17:00:00 EDT	
Item 7 SPD UAT 2		258406	258406000000012	22044	2024-09-04 17:14:53 EDT		Outstanding (1)
		258406	258406000000013	22067	2024-09-04 17:14:53 EDT		
		258406	258406000000014	22007	2024-09-04 17:14:53 EDT	2024-09-09 17:00:00 EDT	
Item UAT 2024-06	222	259310	25931000000002	22024	2024-09-05 12:23:44 EDT		Repaired
	222	259315	25931500000002	22011	2024-09-05 12:23:09 EDT		
TESTACCOUNT732	1	15569	15569000000010	22048	2023-07-20 14:51:16 EDT		Outstanding (1)
	1	15565	15565000000007	22007	2023-07-20 13:36:14 EDT	2023-07-25 17:00:00 EDT	
		15648	15648000000010	22048	2023-07-20 14:37:14 EDT		

- When downloading Account rejections, each error, Outstanding or Repaired, 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.

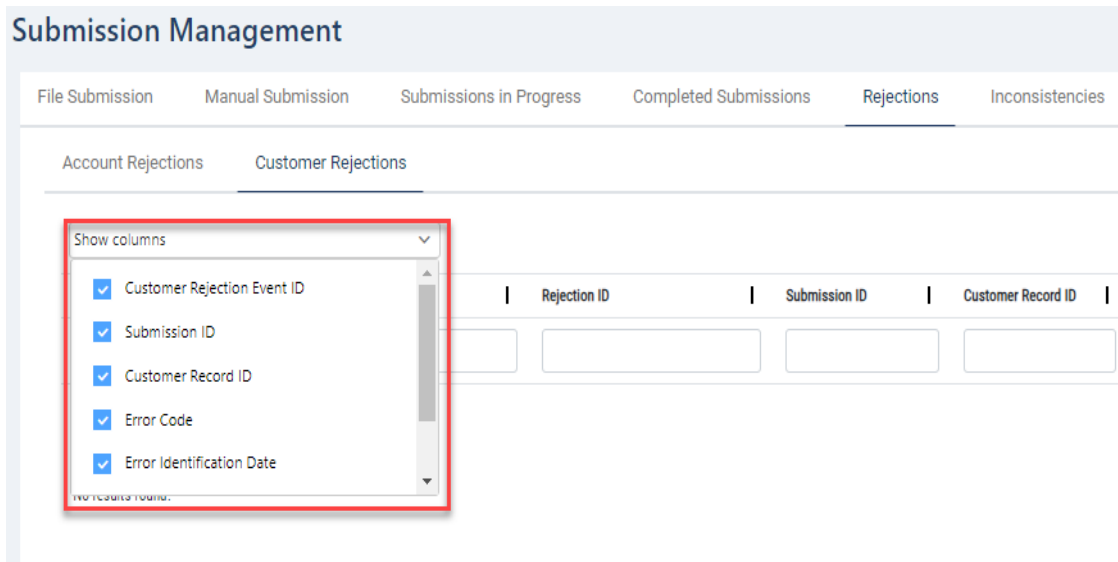
1	Fdid	Fdid Record ID	Submission ID	Rejection Id	Error Code	Error Identification Date	Error Repair Deadline	Status
2	TESTACCOUNT332	4	13569	135690000000008	22071	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
3	TESTACCOUNT332	4	13569	135690000000007	22043	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
4	TESTACCOUNT332	4	13569	135690000000006	22043	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
5	TESTACCOUNT332	4	13568	135680000000008	22071	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
6	TESTACCOUNT332	4	13568	135680000000007	22043	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
7	TESTACCOUNT332	4	13568	135680000000006	22043	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
8	TESTACCOUNT332	4	13565	135650000000006	22071	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
9	TESTACCOUNT332	4	13565	135650000000005	22043	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED

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



11. 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.

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



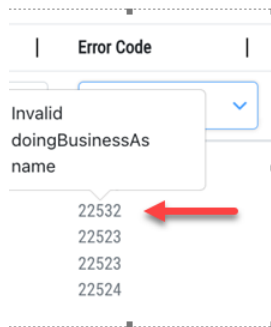
The available options under **Show Columns** include the following:

- 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 Repaired.

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 13569000000001 13569000000002 13569000000003 13569000000004 Show 12 more	13569 13569 13569 13569 13569	1,3,6 1,6 1,3,4 1,4 4	22514 22504 22514 22524 22520	2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	⚠ Outstanding (6)
5185551#134#NULL#2024-01-04T21:08:11.498000+00:00	103144000000000 95634000000000	103144 95634	1 1	22521 22514	2024-02-01 17:22:00 EST 2024-01-04 16:10:04 EST	2024-01-09 17:00:00 EST	⚠ Outstanding (1)
25044281#134#NULL#2024-09-05T16:22:08.567000+00:00	250510000000001 250510000000000	250510 250510	25 25	22523 22523	2024-09-05 12:23:44 EDT 2024-09-05 13:24:50 EDT	2024-09-10 17:00:00 EDT	✅ Repaired
25018056#134#NULL#2024-09-03T15:30:05.237000+00:00	252037000000000	252037	0	22543	2024-09-03 11:31:47 EDT	2024-09-06 17:00:00 EDT	✅ Repaired

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



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

Submission Management

Reporter CRD

File Submission Manual Submission Submission in Progress Completed Submissions Rejections Inconsistencies

Account Rejections Customer Rejections

Show columns

Refresh Download Display Settings

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		Outstanding
	13569000000001	13569	1,6	22504	2023-07-20 14:51:16 EDT		
	13569000000002	13569	1,3,6	22516	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	
	13569000000003	13569	1,4	22524	2023-07-20 14:51:16 EDT		
	13569000000004	13569	4	22520	2023-07-20 14:51:16 EDT		

Show 12 more

15. The Rejection 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.

Submission Management

Account Rejections Customer Rejections

Return to Rejections Rejection Details

CAT Reporter CRD

Customer Rejection Event ID 1312854#134#NULL#2023-07-20T17:55:21.614000-00:00

Firm Designated ID

Error Repair Deadline 2023-07-25 17:00:00 EDT

Status **Outstanding**

Malformed Record IDs
No errors found

Data Validation Errors

Rejection ID	Submitter ID	Submission ID	Customer Record ID	Error Code	Error Description	Error Identification Date	Status
13569000000005		13569	1,3,6	22523	Multiple instances of customer with differing data	2023-07-20 14:51:16 EDT	Outstanding
13569000000004		13569	4	22520	Missing or Invalid countryCode	2023-07-20 14:51:16 EDT	Outstanding
13569000000003		13569	1,4	22524	Missing or Invalid customerType	2023-07-20 14:51:16 EDT	Outstanding
13569000000002		13569	1,3,6	22516	Missing or Invalid addType	2023-07-20 14:51:16 EDT	Outstanding
13569000000001		13569	1,6	22504	Missing or Invalid format of ein	2023-07-20 14:51:16 EDT	Outstanding
13569000000000		13569	1,3,6	22514	Missing ADDRESS1 type Address Record	2023-07-20 14:51:16 EDT	Outstanding
13565000000004	13565	6		22520	Customer Record rejected because another version of the Customer was rejected	2023-07-20 13:56:13 EDT	Resolved
13565000000003	13565	1		22516	Missing or Invalid addType	2023-07-20 13:56:13 EDT	Resolved

16. 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.

The screenshot shows the 'Submission Management' interface with the 'Customer Rejections' tab selected. A table displays rejection data with columns: Customer Rejection Event ID, Rejection ID, Submission ID, Customer Record ID, Error Code, Error Identification Date, Error Repair Deadline, and Status. A 'Download' button is highlighted in red.

- When downloading Customer rejections, each error, Outstanding or Repaired, 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 Error Code	Error Identification Date	Error Repair Deadline	Status
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000000005	13569	[1, 3, 4, 6]	22533 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000000004	13569	[4]	22520 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000000003	13569	[1, 4]	22524 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000000002	13569	[1, 3, 6]	22516 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000000001	13569	[1, 6]	22504 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356900000000000	13569	[1, 3, 6]	22514 2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT	OUTSTANDING
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000005	13568	[1, 3, 4, 6]	22533 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000004	13568	[1]	22524 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000003	13568	[4]	22520 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000002	13568	[6]	22516 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000001	13568	[6]	22504 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356800000000000	13568	[6]	22514 2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000000004	13565	[6]	22529 2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000000003	13565	[1]	22516 2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000000002	13565	[1]	22514 2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000000001	13565	[3]	22521 2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	REPAIRED
1312884#134#NULL#2023-07-20T17:55:21.614000+00:00	1356500000000000	13565	[4]	22524 2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	REPAIRED

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.
- FDID - Refers to the Firm Designated IDs associated to 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
99378381344NULL#2024-01-23440004	2024-01-22 13:25:10 EST	2	4004	2024-01-23 13:43:31 EST	2024-01-25 17:00:00 EST	Outstanding	INTERFIRM	_20240122_CustType2nd_CAIS_000003.json.bz2
993455381344NULL#2024-01-24430004	2024-01-23 09:22:52 EST	2	3004	2024-01-24 13:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTRAFIRM	_20240123_CustType2nd_CAIS_000012.json.bz2
149716240813449999999999#2024-01-24440002	2024-01-23 18:21:00 EST	40	4002	2024-01-24 13:10:33 EST	2024-01-26 17:00:00 EST	Outstanding	INTERFIRM	20240123_InnerYOBfirmC_CAIS_000004.json.bz2

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

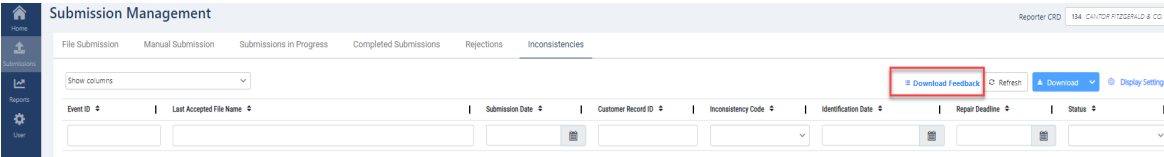
Submission Management Reporter CRD:

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
99378381344NULL#2024-01-23440004	2024-01-22 13:25:10 EST	2	Foreign TD 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
993455381344NULL#2024-01-24430004	2024-01-23 09:22:52 EST	2	3004	2024-01-24 13:10:33 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](#)).

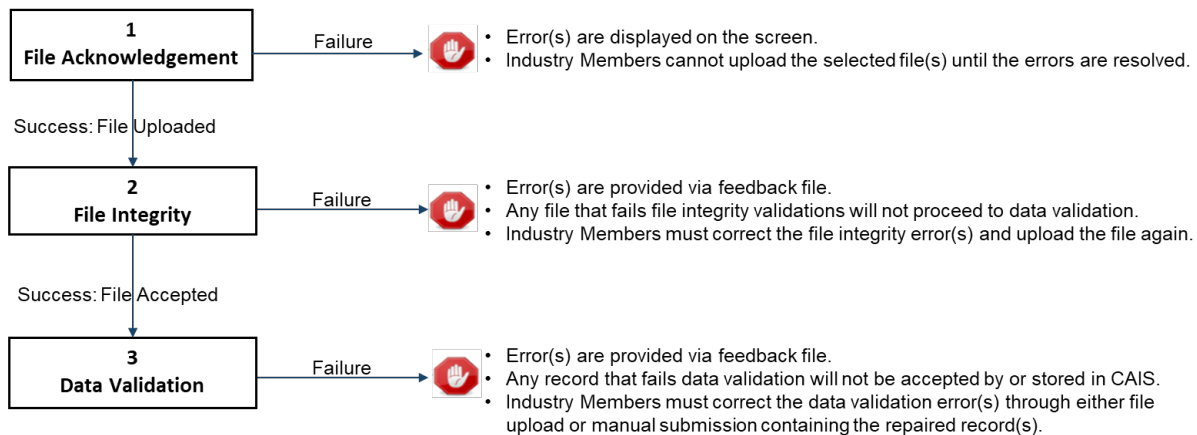
Because data submitted to CAIS cannot be returned to the Industry Member submitting the data, inconsistency resolution via manual submission requires resubmitting the FDID Record in its current state (with all LTID and Customer associations), with the Update Notification field populated with ‘Yes’. See [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 6.4](#) 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.

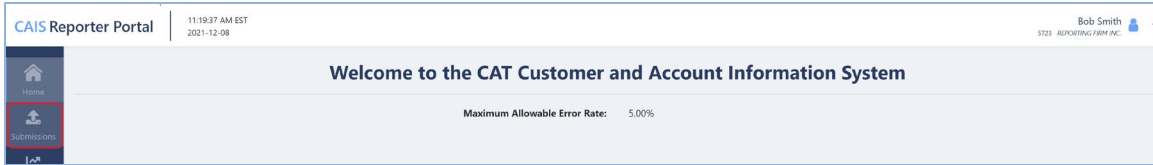
6.1.2. **Upload CAIS Data and TIDs Files**

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.

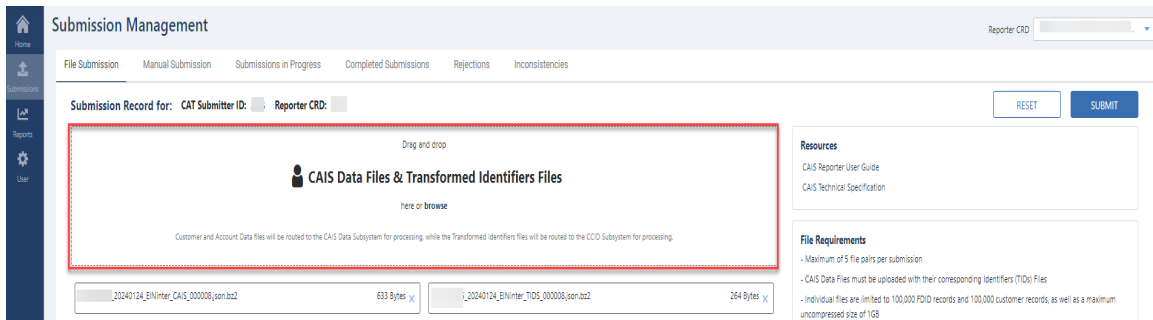
A single submission may not exceed five paired file sets or 1GB (uncompressed). There is no limit to the number of submissions that a user may provide.

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

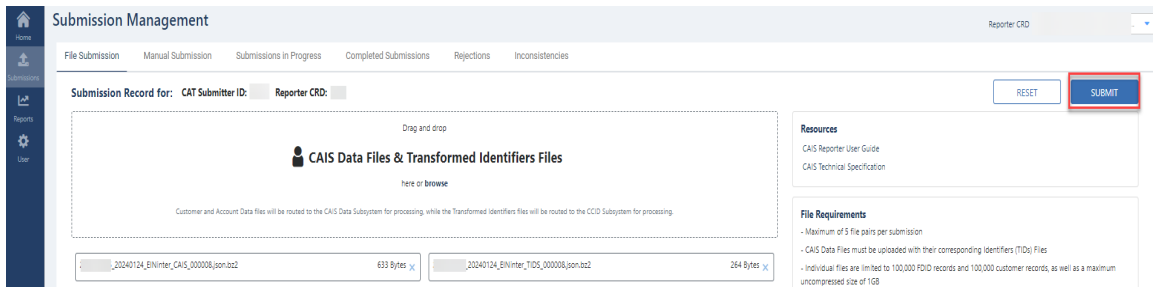
1. Select **Submissions**.



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 6.4](#)).

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.

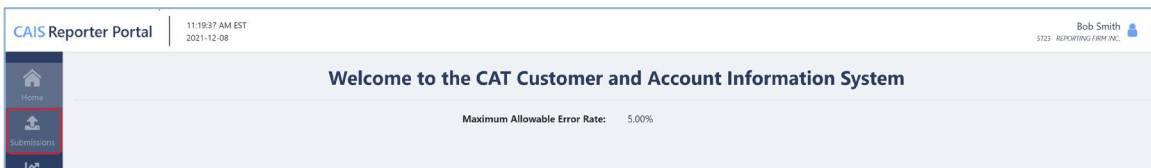
Manual Submission includes the following:

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

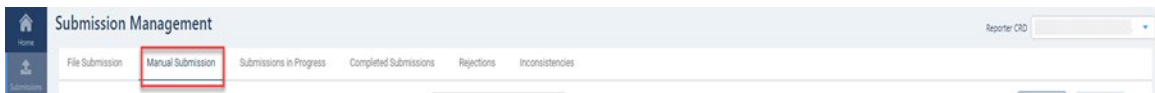
For more information on the reporting requirements for FDID, CAT Customer and LTID records, see the Customer & Account Technical Specifications for Industry Members.

To manually submit records:

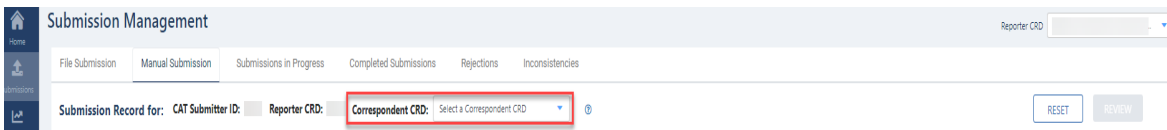
1. Select Submissions.



2. Select Manual Submission.



- 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. The Correspondent CRD value must be a different identifier than the Reporter CRD. For Accounts which are not correspondent Accounts, Correspondent CRD must not be selected. Introducing brokers or correspondents submitting for themselves must not populate the Correspondent CRD.



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.

- 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 'New LTID Association' section with a 'Cancel' button and an 'ADD' button. The 'LTID Association' form contains the following fields: 'Large Trader ID' (with a note 'Enter an 8- or 13-character LTID or ULTID'), 'Effective Date' (YYYYMMDD), 'End Date' (YYYYMMDD), and 'End Reason' (with a note 'Select an End Date').

- Large Trader ID:** Enter the Large Trader ID/Unidentified Large Trader ID associated with the FDID.
- Effective Date:** Enter the date on which the LTID/ULTID became associated to the FDID within the Industry Member's system.
- End Date:** If applicable, enter the date on which the association was ended. This field is required if there is an End Reason applied.
- 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 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 dropdown menu with options: 'Large Trader', 'Natural Person', 'Legal Entity', and 'Correction Action'. The 'Natural Person' option is selected. Below the dropdown, there is an 'UPDATE' button. The 'FDID Record' section is visible at the bottom.

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

Customer Association (Natural Person)

* Customer Record ID: 1

* Role: AUTHREP

* Has Discretion: Yes No

* Role Start Date: 20220112

Role End Date: YYYYMMDD

Role End Reason: Select an End Date

- Customer Record ID:** A default Customer Record ID is automatically provided for each Customer association or enter a unique Customer Record ID value for the associated Customer Record.
- 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

- First Name:** Enter the First Name known for the Customer Record.
- 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).

The screenshot shows a form titled "Transformed Identifier". It contains a text input field with a pre-filled hash: "5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2". To the right of the input is a "Generate" button and a help icon. Below the input is a "TID Type:" section with two radio buttons: "FOREIGN" (unselected) and "SSN/ITIN" (selected). At the bottom, there is a checkbox labeled "This TID has been replaced by a new TID." with a help icon.

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 the **GENERATE** button.

The screenshot shows a dialog box titled "Transformed Identifier Generation". It contains a text input field with a pre-filled hash: "5ab74b0f5471523975ac2f1ea4c14418cd66c4c559a172ccc359a22faeb9a3e2". To the right of the input is a "Generate" button and a help icon. Below the input is a "TID Type:" section with two radio buttons: "FOREIGN" (unselected) and "SSN/ITIN" (selected). Below that is an "Input Identifier:" section with a text input field containing "999-99-9999". At the bottom, there is a checkbox labeled "This TID has been replaced by a new TID." with a help icon. At the very bottom of the dialog are two buttons: "CANCEL" and "GENERATE".

Users are then returned to the Customer Record page where the generated Transformed Identifiers

value has been populated in the Transformed Identifier field.

If an Industry Member must update the Transformed Identifier that was previously reported to CAIS because the Customer's Input Identifier was legally changed or the Industry Member has obtained a different Input Identifier that replaces the current Input Identifier, provide the updated Transformed Identifier by either:

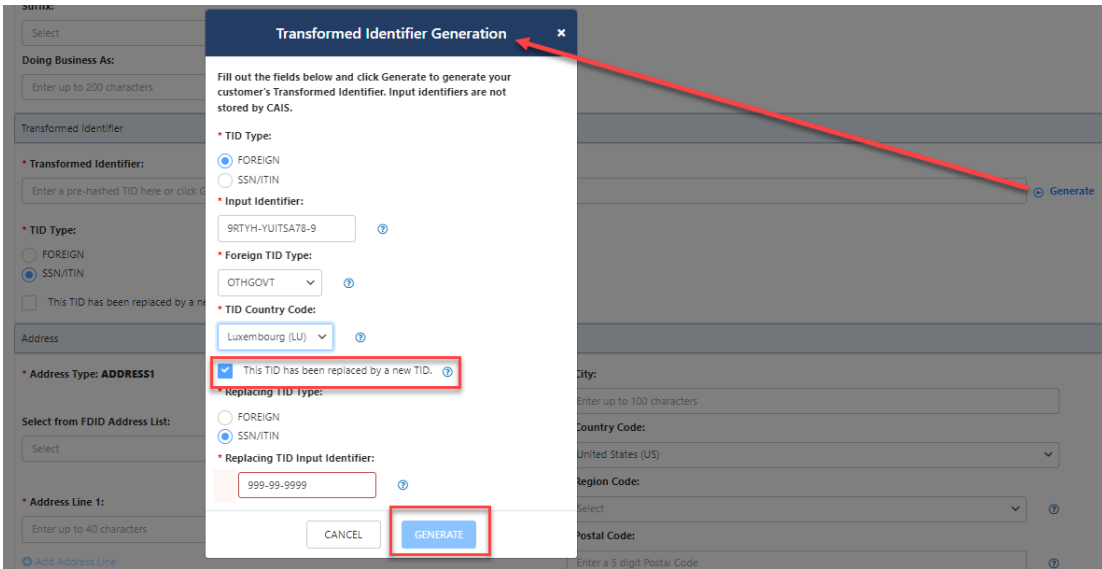
- Entering the pre-hashed **Transformed Identifier** and **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable) that was previously reported to CAIS. Then select “**This TID has been replaced by a new TID**”. Next, enter the pre-hashed **Replaced by TID** value and select the **Replacing TID Type** (and **Replacing Foreign TID Type** and **Replacing Country Code**, if applicable).

The screenshot shows a form titled "Transformed Identifier" with the following fields and options:

- Transformed Identifier:** A text input field containing a long alphanumeric string. A red box highlights this field.
- TID Type:** Radio buttons for FOREIGN and SSN/ITIN.
- Foreign TID Type:** A dropdown menu with "PASSPORT" selected.
- TID Country Code:** A dropdown menu with "Canada (CA)" selected. A red arrow points to this field.
- This TID has been replaced by a new TID.
- Replaced by TID:** A text input field containing another long alphanumeric string.
- Replacing TID Type:** Radio buttons for FOREIGN and SSN/ITIN.

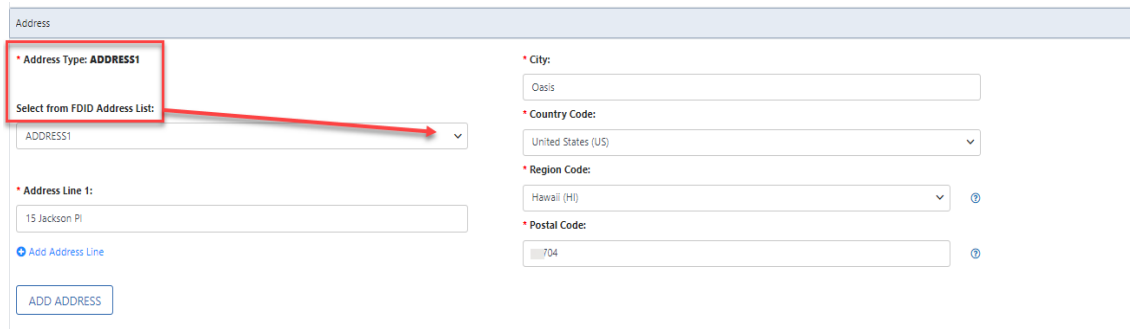
OR

- Generating the **Transformed Identifier** and **Replaced by TID**. Click **Generate** in the **Transformed Identifier** section. The **Transformed Identifier Generation** window will appear. Select the **TID Type** and enter the **Input Identifier** (and **Foreign TID Type** and **TID Country Code**, if applicable) that was previously reported to CAIS. Next, select “**This TID has been replaced by a new TID.**” Then enter the **Replacing TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Finally, enter the **Replacing TID Input Identifier** and click the **GENERATE** button.

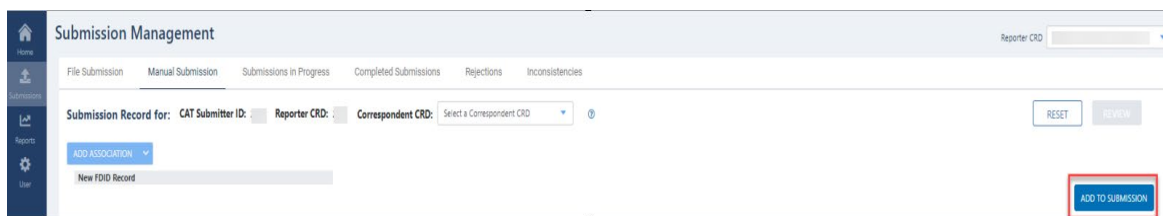


Users are then returned to the Customer Record page where the generated Transformed Identifier values have been populated in the appropriate fields.

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

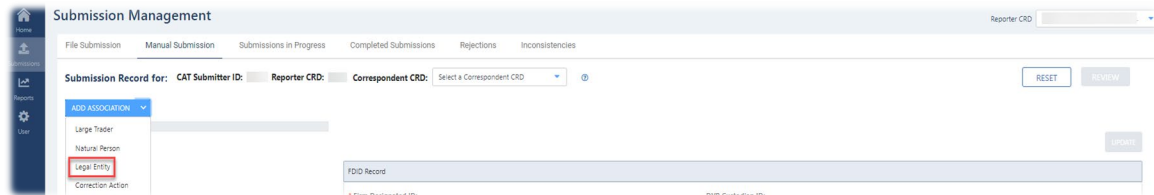
record in the FDID Record Associations section, then make appropriate modifications.

- 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.

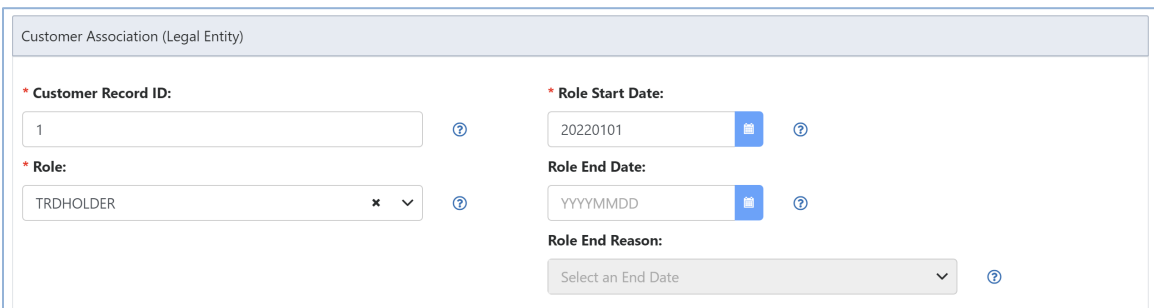
7. To add a **Legal Entity Customer** association to the submission:

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.

The screenshot shows the 'Customer Association (Legal Entity)' form. It contains several fields: 'Customer Record ID:' with a text input containing '1'; 'Role:' with a dropdown menu showing 'TRDHOLDER'; 'Role Start Date:' with a date picker showing '20220101'; 'Role End Date:' with a date picker showing 'YYYYMMDD'; and 'Role End Reason:' with a dropdown menu showing 'Select an End Date'. Each field has a help icon (question mark) 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.

- f. **Role End Reason:** If reporting a Customer association that has been ended, select one End Reason value.

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

The screenshot shows a form titled "Customer Record". It contains the following fields:

- Legal Name:** A text input field containing "Test Company".
- EIN:** A text input field containing "99-9999999".
- LEI:** A text input field containing "839CMZT271094LP3R593".
- Customer Type:** A dropdown menu with two selected options: "ADVISER" and "BD".
- Update Notification:** A checkbox labeled "Yes" which is currently unchecked.

- 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).

The screenshot shows a form titled "Transformed Identifier". It contains the following fields:

- Transformed Identifier:** A text input field containing a long alphanumeric hash: "d41c0037fcf88a66aeb6b18b0ccc9ace4c0b71a93be4555d585006cfd2dc22ec".
- TID Type:** Radio buttons for "EIN" and "FOREIGN", with "FOREIGN" selected.
- Foreign TID Type:** A dropdown menu with "NATIONALID" selected.
- TID Country Code:** A dropdown menu with "Canada (CA)" selected.
- 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 the **GENERATE** button.

Transformed Identifier Generation ✕

Fill out the fields below and click Generate to generate your customer's Transformed Identifier. Input identifiers are not stored by CAIS.

* **TID Type:**

FOREIGN
 SSN/ITIN

* **Input Identifier:**

9999999999 ⓘ

* **Foreign TID Type:**

OTHGOVT ⓘ

* **TID Country Code:**

Canada (CA) ⓘ

This TID has been replaced by a new TID. ⓘ

CANCEL GENERATE

Users are then returned to the Customer Record page where the generated Transformed Identifier value has been populated in the Transformed Identifier field.

If an Industry Member must update the Transformed Identifier that was previously reported to CAIS because the Customer's Input Identifier was legally changed or the Industry Member has obtained a different Input Identifier that replaces the current Input Identifier, provide the updated Transformed Identifier by either:

- Entering the pre-hashed **Transformed Identifier** and **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable) that was previously reported to CAIS. Then select "**This TID has been replaced by a new TID**". Next, enter the pre-hashed **Replaced by TID** value and select the **Replacing TID Type** (and **Replacing Foreign TID Type** and **Replacing Country Code**, if applicable).

Transformed Identifier

*** Transformed Identifier:**
 Generate ⓘ

*** TID Type:**
 EIN
 FOREIGN
 This TID has been replaced by a new TID. ⓘ

*** Replaced by TID:**
 Generate ⓘ

*** Replacing TID Type:**
 EIN
 FOREIGN

OR

- Generating the **Transformed Identifier** and **Replaced by TID**. Click **Generate** in the **Transformed Identifier** section. The **Transformed Identifier Generation** window will appear. Select the **TID Type** and enter the **Input Identifier** (and **Foreign TID Type** and **TID Country Code**, if applicable) that was previously reported to CAIS. Next, select “**This TID has been replaced by a new TID.**” Then enter the **Replacing TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Finally, enter the **Replacing TID Input Identifier** and click the **GENERATE** button.

LEI: Enter 20 character LEI

Transformed Identifier:

*** Transformed Identifier:**

*** TID Type:**
 EIN
 FOREIGN
 This TID has been replaced by a new TID. ⓘ

Address:

*** Address Type: ADDRESS1**

Select from FDID Address List:

*** Address Line 1:**

Transformed Identifier Generation ✕

Fill out the fields below and click Generate to generate your customer's Transformed Identifier. Input identifiers are not stored by CAIS.

*** TID Type:**
 EIN
 FOREIGN

*** Input Identifier:**
 ⓘ

This value was auto-populated from the value in the EIN field in the Customer Record Section. If the value here is incorrect, click Cancel and update the value in the EIN field in the Customer Record Section

This TID has been replaced by a new TID. ⓘ

*** Replacing TID Type:**
 EIN
 FOREIGN

*** Replacing TID Input Identifier:**
 ⓘ

Users are then returned to the Customer Record page where the generated Transformed Identifier values have been populated in the appropriate fields.

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:
101 North Way

+ Add Address Line

* City:
Des Moines

* Country Code:
United States (US)

* Region Code:
Iowa (IA)

* Postal Code:
50023

ADD ADDRESS Remove Address

8. To manually repair data validation errors for FDID or Customer rejections:

8.1 First, enter a value for each applicable field in the **FDID Record** section. Fields marked with an asterisk (*) are required.

8.2 Click **Add To Submission**. Note, this button will be disabled until required fields in the **FDID Record** section are populated.

Submission Management

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Submission Record for: CAT Submitter ID: Reporter CRD: Correspondent CRD: Select a Correspondent CRD

ADD ASSOCIATION

Insert

ADD TO SUBMISSION

FDID Record

* Firm Designated ID:
TEST1948

* FDID Type:
ACCOUNT

DVP Custodian ID:
Enter one or more

Clearing Broker ID:
1234

8.3 Select **Add Association**.

Submission Management

File Submission Manual Submission Submissions in Progress Completed Submissions Rejections Inconsistencies

Submission Record for: CAT Submitter ID: 99999999 Reporter CRD: 99999999 Correspondent CRD: Select a Correspondent CRD

ADD ASSOCIATION

TEST1948

FDID Record

8.4 Select **Correction Action** from the dropdown.

The screenshot shows the 'Submission Management' interface. At the top, there are tabs for 'File Submission', 'Manual Submission', 'Submissions in Progress', 'Completed Submissions', 'Rejections', and 'Inconsistencies'. Below the tabs, there are input fields for 'Submission Record for: CAT Submitter ID:', 'Reporter CRD:', and 'Correspondent CRD:'. A dropdown menu labeled 'ADD ASSOCIATION' is open, showing options: 'Large Trader', 'Natural Person', 'Legal Entity', and 'Correction Action'. The 'Correction Action' option is highlighted with a red box. To the right, there is a form for 'FDID Record' with fields for 'Firm Designated ID:' (containing 'TEST1948') and 'DVP Custodian ID:' (with a placeholder 'Enter one or more').

8.5 Enter the **Rejection ID** value and a **Correction Action** of CORRECTION or DELETE.

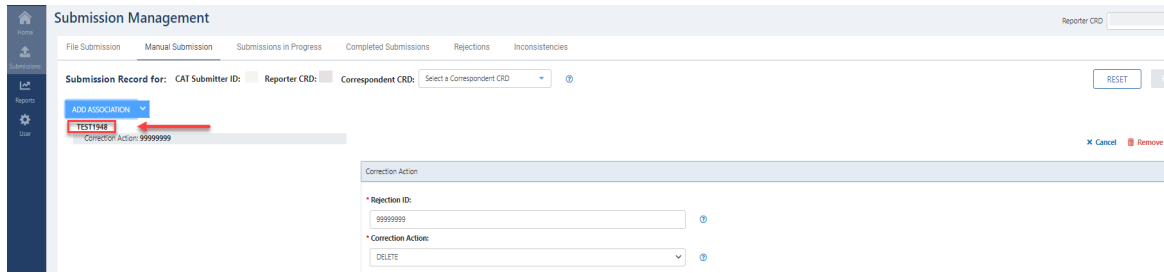
The screenshot shows the 'Submission Management' interface with the 'ADD ASSOCIATION' dropdown menu open. The 'Correction Action' option is selected. Below the dropdown, there is a form titled 'New Correction Action'. The form has two main sections: 'Rejection ID' and 'Correction Action'. The 'Rejection ID' field contains the value '99999999'. The 'Correction Action' dropdown menu is open, showing options: 'CORRECTION' and 'DELETE'. The 'CORRECTION' option is selected. A red box highlights the 'Rejection ID' field and the 'Correction Action' dropdown menu.

- **CORRECTION:** The prior rejection is being repaired by including a Correcting FDID Record or a Correcting Customer Record.
- **DELETE:** The prior rejection is being cleared without submitting a Correcting Firm Designated ID or a Correcting Customer Record ID.

8.6 Click **ADD** for the action being taken.

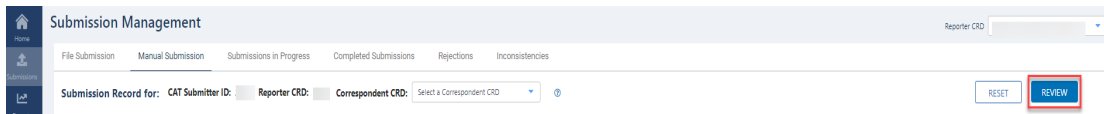
The screenshot shows the 'Submission Management' interface with the 'New Correction Action' form. The 'ADD' button is highlighted with a red box. The form shows the 'Rejection ID' field with '99999999' and the 'Correction Action' dropdown menu with 'DELETE' selected.

8.7 Click Firm Designated ID to return to the Manual Submission main window and complete resubmission of the FDID Record in its current state with all required LTID and Customer associations with corrected data.

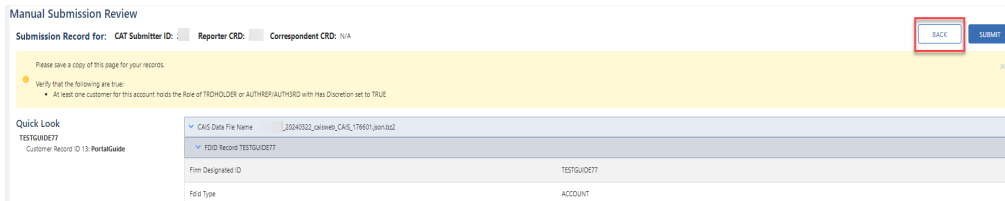


9. To submit manually created files through the CAIS Portal:

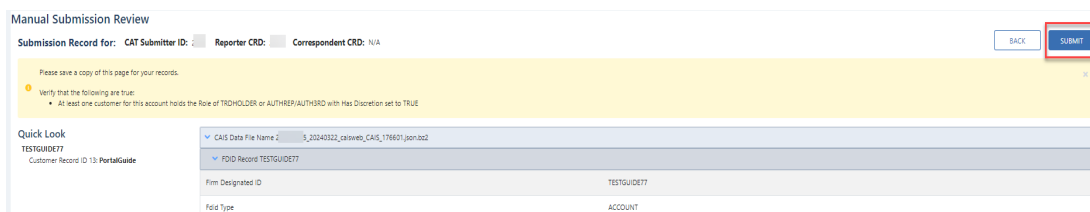
9.1 Once all applicable fields have been populated, click the **Review** button. A summary of the data and metadata to be submitted is displayed.



- If any values associated to the applicable fields need to be modified, click the **Back** button prior to final submission.



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



Manual submission generates a file set which is uploaded to the separate subsystems and processed through file integrity validation and data validation. Users may access feedback via the Download Submission Feedback File functionality (see [Section 6.4](#)).

6.3. Submissions in Progress

Files that were submitted via STFP, manually submitted via the Portal or manually created in the Portal go through processing before they reach a completed status when feedback on the submission can be provided. While files are in progress, they can be found on the Submissions in Progress tab.

To view submissions in progress:

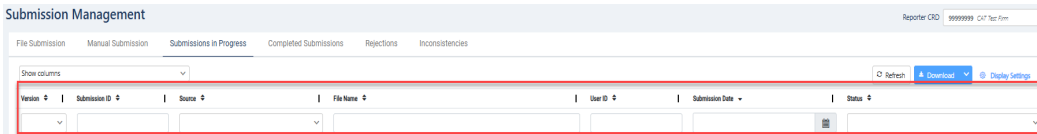
1. Select **Submissions**.



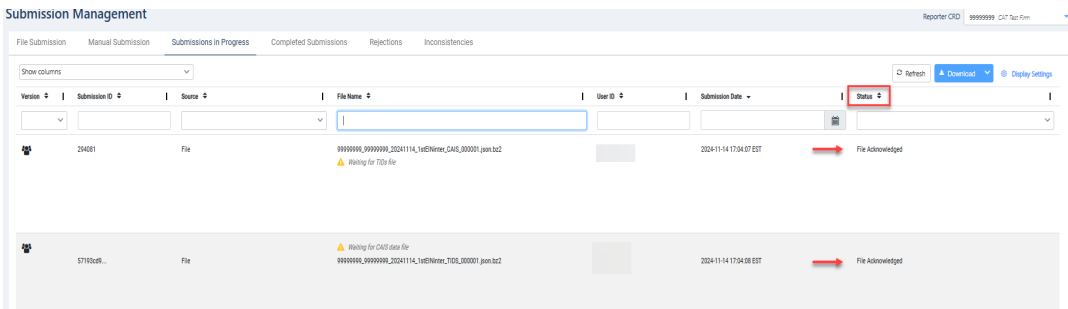
2. Select **Submissions in Progress**.



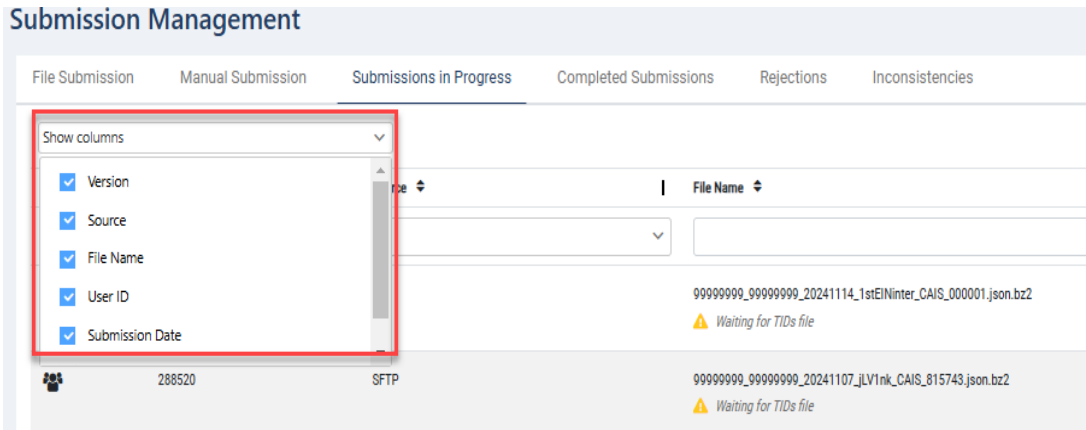
3. Utilize the **sort** and **filter** functionalities to locate the file(s).



4. For each submission in progress, the Status of the file is available.



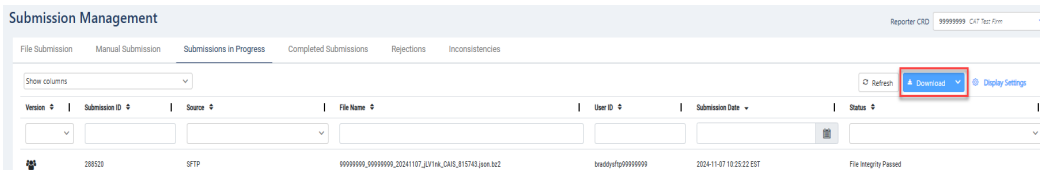
- The layout for the data displayed can be modified through the dropdown feature under **Show columns**.



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).
- Source - Indicates whether the file was submitted via machine-to-machine communication, or uploaded or manually entered via the CAIS Portal.
- File Name - The name of the file submitted by or on behalf of the Industry Member.
- User ID - A unique account identifier associated to the user that submitted the file.
- Submission Date - Date that the file was submitted by or on behalf of the Industry Member to CAT CAIS.
- Status – Indicates the current status of the submission:
 - File Acknowledged
 - File Integrity Passed
 - Record Scan Completed

- Optionally, select the **Download** button to download processing submissions in a CSV file. If filters have been applied to the download, only the files meeting the specified criteria are downloaded.



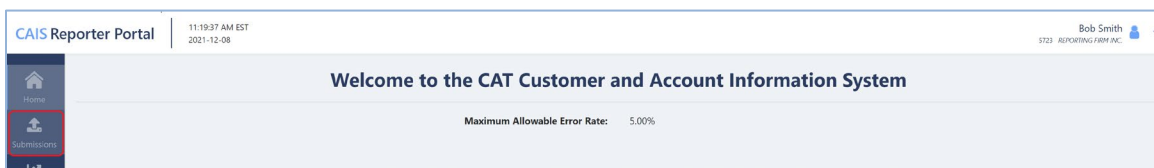
6.4. Download Submission Feedback Files

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

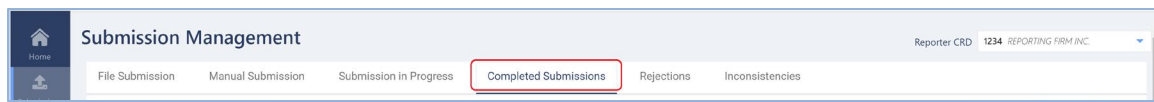
Each Full CAIS submission will receive feedback on both the CAIS Data File and the Transformed Identifiers File.

To **download** a feedback file:

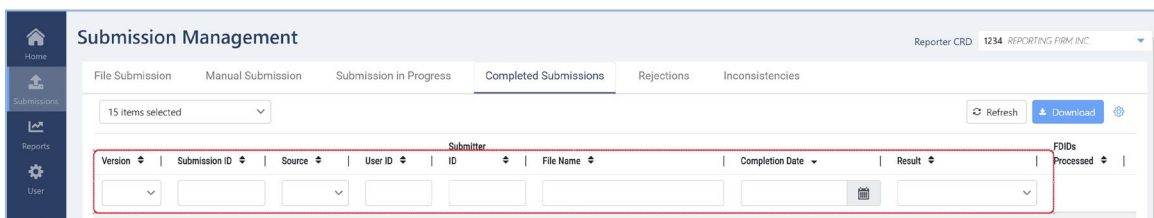
1. Select **Submissions**.



2. Select **Completed Submissions**.



3. Utilize the **sort** and **filter** functionalities to locate the submission for which the feedback files were generated.



4. Once the file is located, click the **Feedback File** button on the far right of the display. 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.

Progress **Completed Submissions** Rejections Inconsistencies

Refresh Download Display Settings

Result	FDIDs Processed	FDIDs Accepted	FDIDs Rejected	Customers Processed	Customers Accepted	Customers Rejected	Feedback Files
Completed - Without Rejections	10	10	0	10	10	0	<input type="button" value="Download"/> <ul style="list-style-type: none"> CAIS Data Feedback File TIDs Feedback File
Completed							
Completed - With Rejections	2000	1999	1	2000	2000	0	
Cancelled							

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

Submission Management Reporter CRD: 99999999 CAT Test Firm

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

Refresh Download Display Settings

Show columns

- Version
- Source
- User ID
- Submitter ID
- File Name

Source	User ID	Submitter ID	File Name	Completion Date	Result	F	P
SFTP	braddysftp99999999	99999999	99999999_99999999_20241119_Fa_CAIS_391098.json.bz2	2024-11-19 10:21:37 EST	Completed - With Rejections		4
SFTP	braddysftp99999999	99999999	99999999_99999999_20241119_Fa_TIDS_391098.json.bz2	2024-11-19 10:21:37 EST	Completed		

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).
- **Source** - Indicates whether the file was submitted via machine-to-machine communication, or uploaded or manually entered via the CAIS Portal.
- **User ID** - A unique account identifier associated to the user that submitted the file.
- **Submitter ID** - Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- **File Name** - The name of the file submitted by or on behalf of the Industry Member.
- **Completion** - Date on which the file completed processing.
- **Result** - Displays the final state of the submission:
 - Completed
 - Without Rejections
 - With Rejections
 - Integrity Error
 - File Timeout
 - Cancelled by Support
 - Processing Failure

- Optionally, select the **Download** button to download Completed Submissions in a CSV file. If filters have been applied to the download, only the files meeting the specified criteria are downloaded.

Submission Management Reporter CRD 99999999 CAT Test Firm

File Submission Manual Submission Submissions In Progress **Completed Submissions** Rejections Inconsistencies

Show columns Refresh **Download** [Display Settings](#)

Version	Submission ID	Source	User ID	Submitter ID	File Name	Completion Date	Result
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

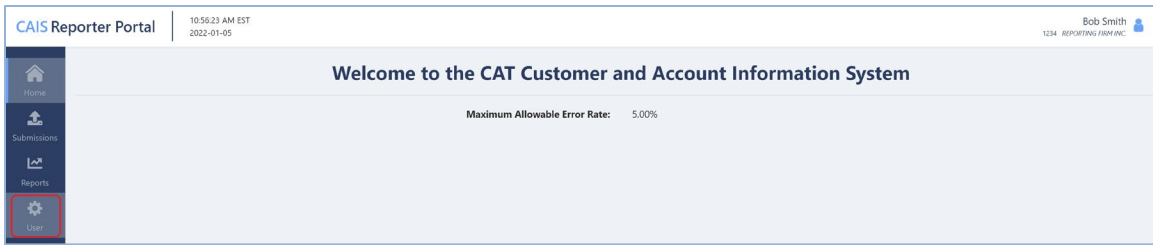
A reporting relationship allows the Submitter to transmit data on behalf of the Industry Member. This includes the ability to submit data, to view feedback and repair rejections, resolve Inconsistencies and make corrections to that data. **A Submitter may only view feedback, repair/resolve errors and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

7.2. View CAIS Reporting Relationships

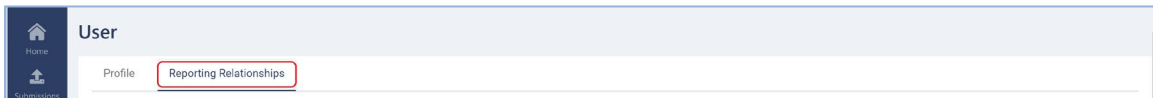
CAIS Reporting Relationships are **view-only** in the CAIS application from the perspective of the Submitter ID and cannot be used to create and manage CAIS Reporting Relationships. See the following section for information on creating and managing CAIS Reporting Relationships in the CAT Transaction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

To view all Reporting Relationships for the organization:

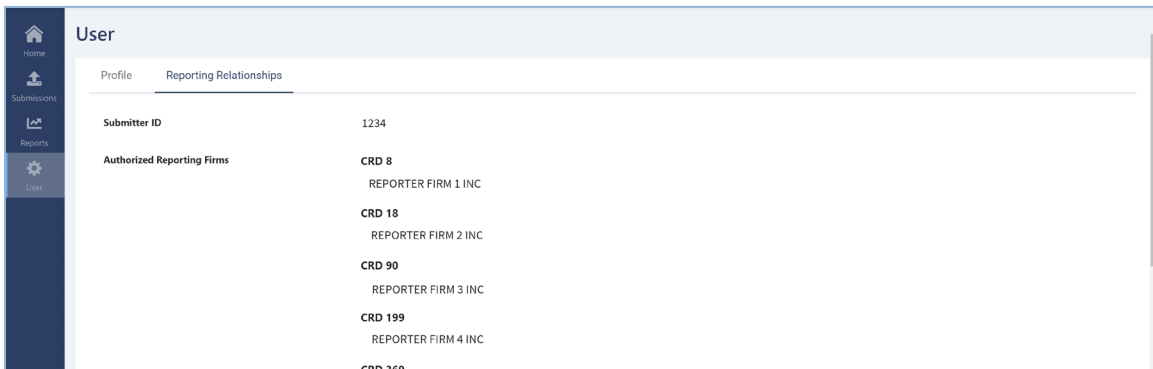
1. Select **User**.



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.

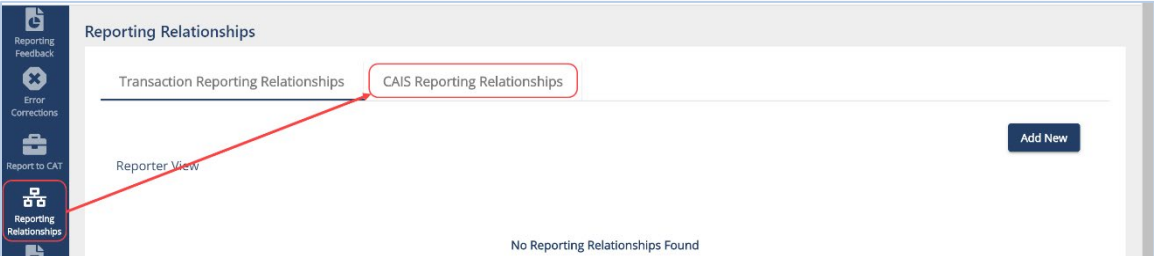
7.3.2. Duplicate and Overlapping CAIS Reporting Relationships

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	imcaisrepuristt	04/23/2021 08:28:15	imcaisrepuristt	04/23/2021 08:30:31

- To **export** a list, click **Export**. 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	imcaisrepuristt	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**.

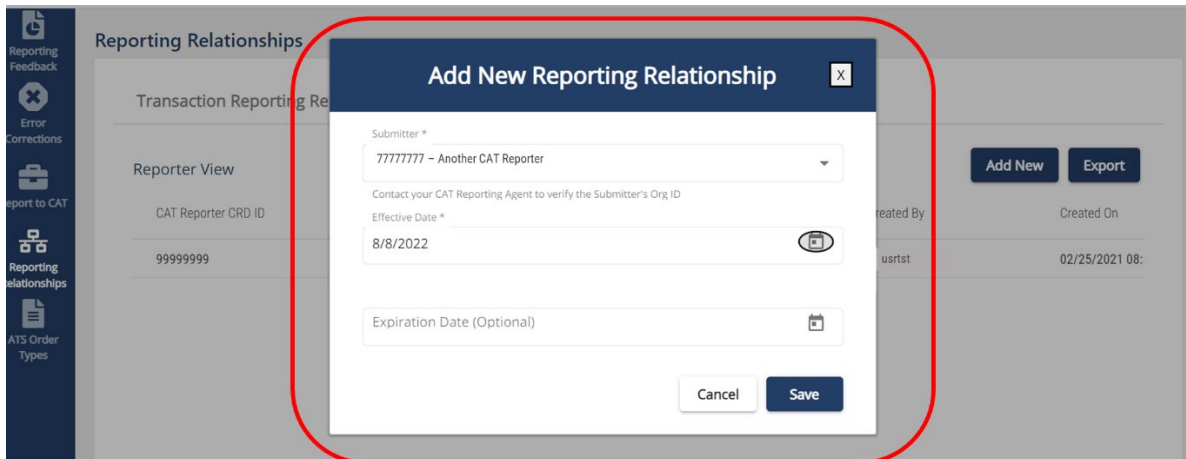
Reporting Relationships

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	imcaisrepuristt	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.


CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepurstst
99999999	7777777 - Another CAT Reporter	02/22/2021		imcaisrepurstst

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

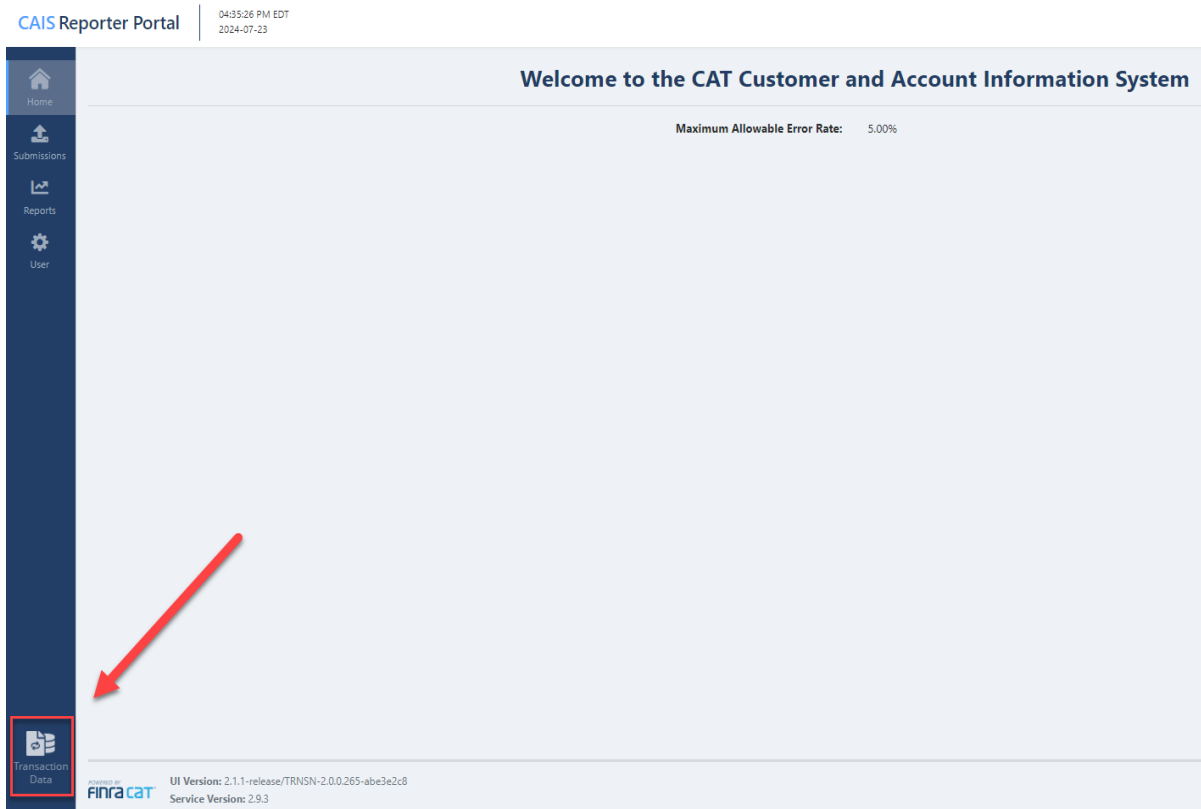
CAT Reporter CRD ID	CAT Submitter CRD ID	Effective Date	Expiration Date	Created By
99999999	88888888 - CAT Reporter	02/25/2021	02/22/2099	imcaisrepusrst
99999999	77777777 - Another CAT Reporter	02/22/2021	08/17/2022	imcaisrepusrst

8. CAIS Report Card

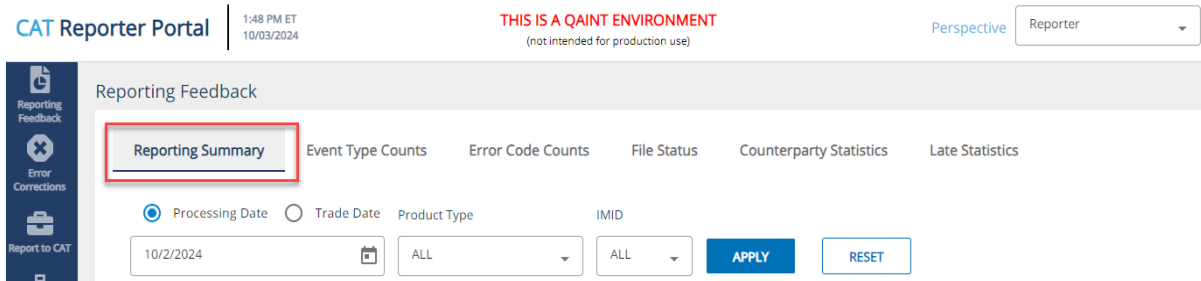
The CAIS Report Card provides access to monthly statistics for FDID and Customer submissions and Material Inconsistencies. Daily statistics can also be exported. These statistics assist CAT Reporters in monitoring compliance and supports regulators in their oversight functions.

To view the CAIS Report Card:

1. Select **Transaction Data**.



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



3. Select **Monthly Report Cards**.

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

Processing Date Trade Date Product Type IMID

9/30/2024 ALL ALL APPLY RESET

No Statistics Available

4. The **Transaction Report Card** tab is displayed by default.

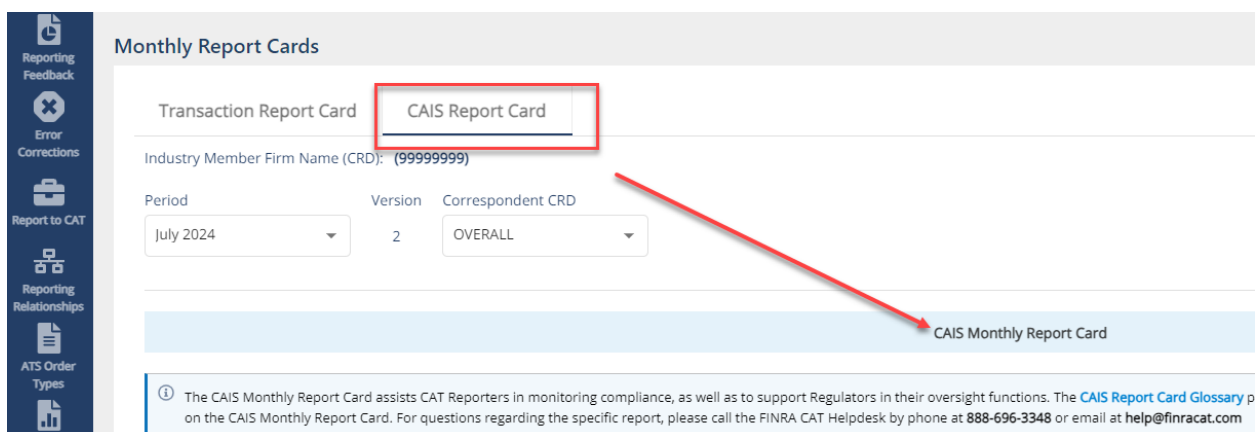
Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD): (99999999)

Period
May 2024

5. Select **CAIS Report Card** to view the CAIS Report Card section.



6. The CAIS Report Card section provides the following information for the specified area:

- The **CAIS Compliance Summary** section provides monthly statistics for Firm CAIS Compliance Error Rate, Firm CAIS Compliance Error Count, Processed Record Count, Days Exceeding 5% Compliance Error Rate, Tier, Peer Group Compliance Error Rate and Industry Compliance Error Rate.
- The **FDID Submission Details** section provides the status, error count and percentage rate for FDID Compliance (i.e., Processed, Accepted, Rejected, Repaired, Late Repaired and Outstanding).
- The **Customer Submission Details** section provides the status, count, and percentage rate for Customer Compliance (i.e., Processed, Accepted, Rejected, Repaired, Late Repaired and Outstanding).
- The **Material Inconsistencies Details** section provides monthly statistics for Material Inconsistencies Errors, (i.e., Total Material Inconsistencies), Intrafirm (i.e., Resolved, Late Resolved, and Outstanding) and Interfirm (i.e., Resolved, Late Resolved and Outstanding).

For more information on the data elements that are available on the CAIS Monthly Report Card see the [CAIS Compliance Glossary](#).

7. To view statistics by a specific month and year, click on the dropdown feature under the **Period** column menu.

Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD): (99999999)

Period: July 2024 Version: 2 Correspondent CRD: OVERALL

- Statistics will be made available by calendar month for up to six years.

8. A **Version** of “1” indicates that one CAIS Report Card was issued for the selected Period. If applicable, Report Cards are reissued sequentially.

Period: June 2024 Version: 1 Correspondent CRD: OVERALL

9. If applicable, select the dropdown under the **Correspondent CRD** menu. Options include the following:

- SELF - Filters the statistics to submission files for the Industry Member where the Correspondent CRD was not set OR the Correspondent CRD was set the same as the CAT Reporter CRD.
- OVERALL - Includes statistics for all submission files for the Industry Member.
- ALL CORRESPONDENTS - Filters the statistics to submission files for the Industry Member where the Correspondent CRD was set to any value other than the same value as the CAT Reporter CRD.
- Individual Correspondent - Filters the statistics to submission files for the Industry Member where the Correspondent CRD was set to the selected value.

Monthly Report Cards

Transaction Report Card CAIS Report Card

Industry Member Firm Name (CRD):

Period: June 2024 Version: 1 Correspondent CRD: OVERALL

SELF
OVERALL
ALL CORRESPONDENTS
88888888
77777777

CAIS Compliance Summary

CATEGORY	COUNT/RATE
Firm CAIS Compliance Error Rate* ⓘ	0.0019%
Firm CAIS Compliance Error Count ⓘ	32
Processed Record Count ⓘ	1,695,614
Days Exceeding 5% Compliance Error Rate	0
Tier ⓘ	
Peer Group Compliance Error Rate	
Industry Compliance Error Rate	1.7488%

*Inconsistencies are not included in the Compliance Error Rate

FDID Submission Details

STATUS	COUNT	RATE
FDID Compliance	24 ⓘ	0.0015% ⓘ
Processed	1,653,028	
Accepted	1,652,897	
Rejected	131	0.0079%
Repaired	131	100.0000%

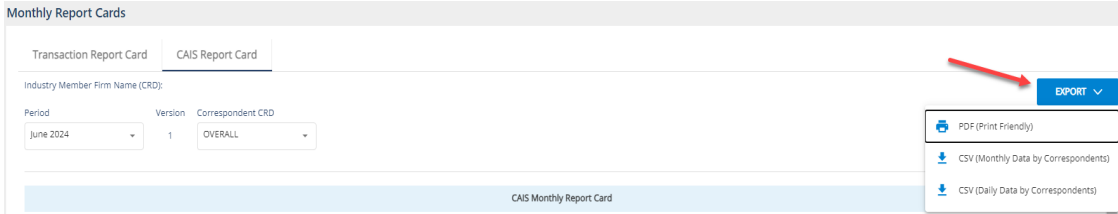
10. To view category descriptions, hover over the tool tip for more information.

CAIS Compliance Summary

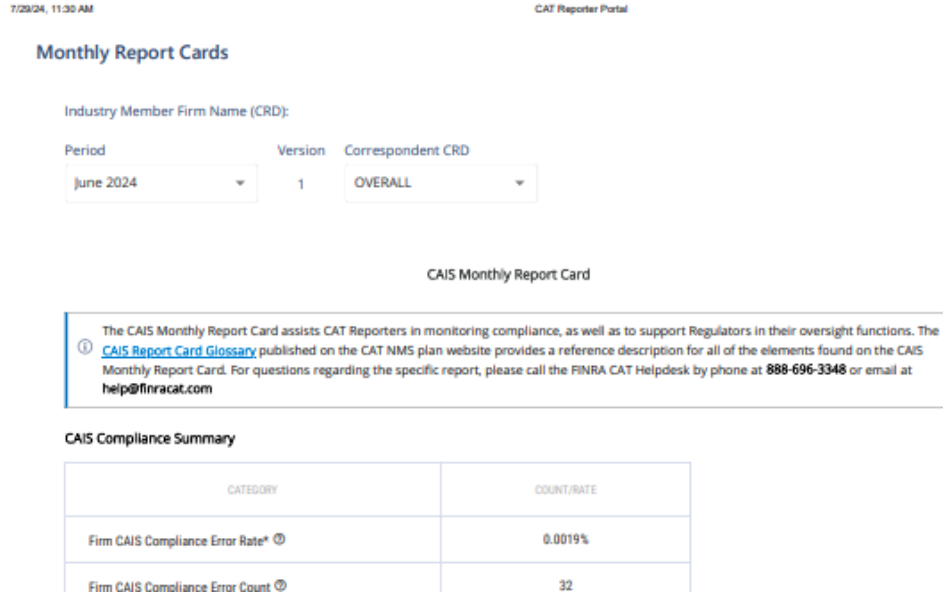
CATEGORY	COUNT/RATE
Firm CAIS Compliance Error Rate* ⓘ	0.0016%
Firm CAIS Total FDID and Customer Records processed	30
Processed Record Count ⓘ	1,925,347
Days Exceeding 5% Compliance Error Rate	0

11. To export monthly or daily statistics for the period displayed on the screen, click **Export**. If filters have been applied to **Correspondent CRD**, only the option meeting the specified filter criteria are

exported. Download the generated CSV or PDF file using the internet browser functionality.



- PDF (Print Friendly) sample:



- CSV (Monthly Data by Correspondents) sample:

Created By: test123
 Created On: 09/20/2024 15:41:31
 Period: 2024-07
 Version: 1

Industry Mem	Industry	Report C	Report C	Corresponder	Report C	Firm CAI	Firm CAI	Processed	Days Exc	Tier	Peer Gro	Industry (FDID C	FDID C	FDID Re
99999999	CAT Test	2024	7	SELF	1	1.99%	420317	2.1E+07	18			28.31%	1.99%	209496	1.1E+07
99999999	CAT Test	2024	7	OVERALL	1	4.17%	934094	2.2E+07	19			28.31%	4.15%	465198	1.1E+07
99999999	CAT Test	2024	7	ALL CORRE	1	38.85%	513777	1322331	19			28.31%	38.72%	255702	660353
99999999	CAT Test	2024	7	99999998	1	33.33%		3	9	1		28.31%	33.33%	1	3
99999999	CAT Test	2024	7	1111	1	38.85%	513774	1322322	19			28.31%	38.72%	255701	660350

- CSV (Daily Data by Correspondents) sample:

Created By: test123											
Created On: 09/20/2024 15:45:44											
Period: 2024-07											
Version: 1											
Industry Me	Industry I	CAIS Processing Date	Correspondent CRD	Report C	Firm CAI	Firm CAI	Processed	Exceeds	FDID Cc	FDID Cc	FDID Re
99999999	CAT Test	7/1/2024	SELF	1	100.00%	4	4	Y	100.00%	2	2
99999999	CAT Test	7/1/2024	OVERALL	1	100.00%	14	14	Y	100.00%	7	7
99999999	CAT Test	7/1/2024	ALL CORRESPONDENTS	1	100.00%	10	10	Y	100.00%	5	5
99999999	CAT Test	7/1/2024	1111	1	100.00%	10	10	Y	100.00%	5	5
99999999	CAT Test	7/2/2024	SELF	1	95.24%	40	42	Y	95.24%	20	21
99999999	CAT Test	7/2/2024	OVERALL	1	80.14%	14460	18044	Y	80.14%	7230	9022
99999999	CAT Test	7/2/2024	ALL CORRESPONDENTS	1	80.10%	14420	18002	Y	80.10%	7210	9001
99999999	CAT Test	7/2/2024	1111	1	80.10%	14420	18002	Y	80.10%	7210	9001
99999999	CAT Test	7/3/2024	SELF	1	80.27%	6216	7744	Y	80.27%	3108	3872
99999999	CAT Test	7/3/2024	OVERALL	1	80.24%	18620	23204	Y	80.24%	9310	11602